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ABSTRACT

This manual is intended to help applicants write successful grant applications in response to requests for proposals (RFPs) from the Division of Personnel Preparation of the U.S. Office of Special Education Programs. It is particularly aimed at institutions of higher education involved in the Alliance 2000 Project, institutions with at least 25 percent of their enrollment being students from historically underrepresented ethnic groups. The first section presents an overview of the grant process, including finding the RFP, reading it for critical information, and identifying specific priorities. The next section looks at both long-range and short-range preparation for responding to an RFP, including completing a proposal development checklist, developing a generic data bank and a support system, brainstorming, identifying the principal investigator team, budgeting, and identifying resources. Section 3 is on writing proposal components and covers addressing the impact of the proposal on critical present and projected need, the capacity of the responding institution, the plan of operation, and the evaluation plan. Section 4 is on budget development and covers preliminary information (such as personnel salaries, travel, supplies, stipends, and other costs); budget detail; budget justification; and federal budget forms and instructions. The final section discusses the face sheet and assurances. (DB)

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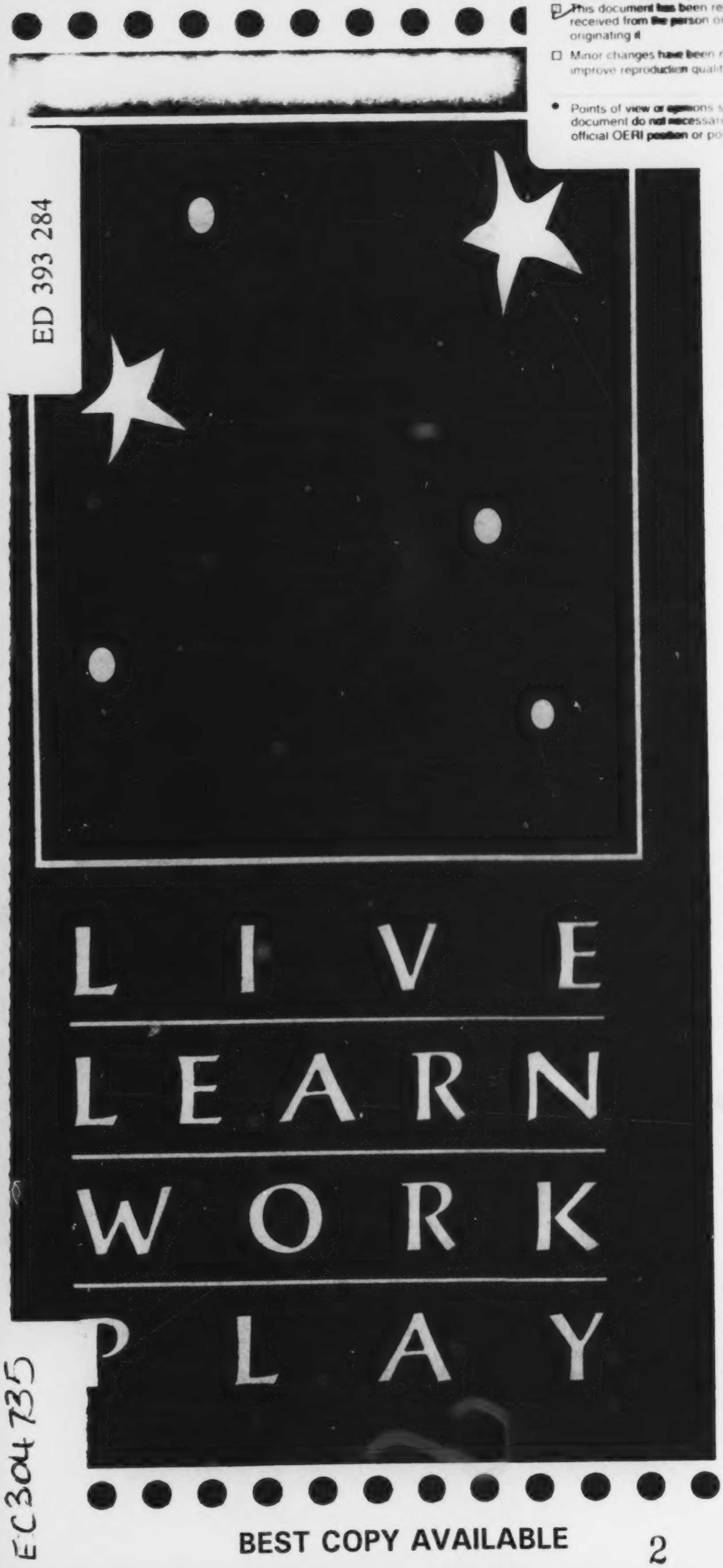

Alliance 2000 Project

Grant Writers' Manual

The University
of New Mexico

U.S. Department
of Education

Office of Special
Education Programs

EC304735

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This manual is the product of the combined efforts of many outstanding professionals in our field. On behalf of all of them, we hope it is helpful as you prepare a grant proposal for the U.S. Department of Education's Office of Special Education Rehabilitative Services' Division of Personnel Preparation.

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Lest we not forget the primary purpose of our efforts: To improve the quality of educational services available to children and youth with disabilities and their families.

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B. Grant Process

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A. PURPOSE OF MANUAL

A critical shortage of personnel who can provide an appropriate education to students with disabilities exists. This shortage threatens the nation's ability to meet the intent of the Individuals with Disabilities Education Act. In addition, the demographics of America is changing, particularly the demographics of the nation's student population. It is imperative that a more culturally and linguistically diverse cadre of special educators and related service personnel meet the needs of these children and their families. It is the hope and aim of those who are part of the Alliance 2000 community.

The intent of this manual is to help you write a successful grant application. A proposal which requests funds to support an educational program designed to prepare personnel to work with children and youth with disabilities and their families. Specifically, this manual should serve as a resource as you prepare a proposal to be submitted to the United States Department of Education's Office of Special Education and Rehabilitative Services' (OSERS) Division of Personnel Preparation. This product of the federally funded Alliance 2000 Project is a companion to a grant writing workshop, additional technical assistance, and information services. Alliance 2000 Project clients are institutions of higher education with at least 25% of their enrollment being students from historically underrepresented ethnic groups.

All of us who worked to prepare it wish you great success!

B. GRANT PROCESS

1. Finding The Request for Proposals

The first crucial step is to be sure you understand the scope of the task. The essential information comes from careful review of the Request for Proposals (RFP).

You can obtain RFPs from several sources:

- Get on mailing lists of the agencies for which you plan to propose projects.
- Review your library's copy of the Federal Register.
- Request assistance from a Research Office or Research Data Base unit on your campus which might search for certain competitions for you.
- Look for notices on SpecialNet or other electronic mail bulletin boards. Request the RFP over the phone.

Proposal guidelines from the Office of Special Education and Rehabilitative Services (OSERS) are printed in two places. First, you will find them in the Federal Register, whenever the guidelines for the next round of competitions are announced. Selected pages from a Federal Register containing the guidelines (November 7, 1991) can be found in Appendix I.B.1. Your institution's research office, grants and contracts office, government documents sections of the library, or your dean's office may receive the Federal Register on a regular basis.

The above guideline notice contains the required facesheet, budget forms, disclosure and assurance forms which must be signed by the appropriate institutional personnel, and the directions for preparation of the proposal. The guidelines specify how many copies must be sent, provide the mailing address, and indicate the acceptable procedures for transmittal of the completed proposal. If you have not previously submitted proposals, you will probably need to request that the documents describing the various competitions be sent to you. These documents may be obtained from:

U.S. Department of Education
Office of Special Education and Rehabilitative Services
Special Education Programs
Washington, D.C., 20202

2. Reading The RFP For Critical Information

The RFPs will usually have the relevant passages from the Federal Register that will describe the aims desired by the federal official, the general "spirit" behind the appropriation, and the possible scope of the project to be funded. For example, the Register may describe the problem that led to the competition or the types of projects likely to receive priority ratings. It will describe the types of agencies or institutions most likely to receive awards, depending on the type of competition.

More importantly, the Federal Register regulations will outline in detail the expected components of your proposal. The general requirements listed include each of the components and the types of questions to be answered in each section, as well as the total points allotted to each. The RFP will contain a copy of the evaluation forms to be used by proposal readers, so that you know exactly how you will be rated. If you have a co-author or an outside "reader" and can spare even a day before printing and mailing your proposal, ask for feedback to see if you have addressed all components. Your department chair or a practitioner in the field might provide valuable reactions. You will find peer review well worth any extra time you might need to make revisions. Be sure to tell your reader exactly what type of feedback you want if you do not have the time to make sweeping changes.

For instance, do you feel that the evaluation component is the only section about which you have concerns? Do you need more help on the management plan? Do you need assistance to support the specific need for the proposal?

You will develop a much better proposal if you ask someone to evaluate any parts of your it, even if the entire proposal is not yet ready.

Steps of Review

1. Read the RFP carefully to determine which competition most closely matches the priorities for your training idea. Those priorities will be the guidelines which you will follow for the development of your specific proposal.
2. **Note the due date** for the specific competition which you select. There is a clear and consistent rule of thumb which may be applied to due dates.

   > *The competition which you select will always have the earliest due date, however the guidelines may arrive near to the specified deadline.*

   Therefore, it is always necessary to begin the general preparation process long before the due dates and guidelines are in your possession.
3. Identify the exact guidelines and the number of points assigned as values to the required components of the proposal differ by competition. Be certain that you follow the guidelines for the specific competition you have selected and carefully note the value assigned to each section of the proposal.

4. Determine the specific requirements required by the awarding agency so that you do not have to scramble for the information close to the deadline.
5. Read the RFP to determine the limit of pages for the narrative section (often 20 pages) and keep that number in mind while writing.
6. Record exactly where to send the proposals, note the deadline for receipt or postmark (this varies by agency), and determine how many copies are required.
7. Make several copies of the competition guidelines and the budget forms. This reduces the panic which occurs when either the guidelines or the budget forms and other forms are temporarily misplaced. Keep a copy of both the guidelines and the federal forms together in a safe place.

3. Purpose Statement

Those who make it past this initial hurdle may still find the total scope of what is required to be a challenge, but the first steps in developing the proposal are usually the most difficult. This manual is intended and designed to help you through the entire process in a step by step progression.

The heart of the matter is the development of the general idea or concept for the project. The most important global guidelines for your idea are that: (a) a documentable need exists, (b) you can gather enough support for your idea to convince others you should get the award, and (c) the scope of the project is possible to do (i.e., with grant support, you can garner enough other support to make it happen).

The concept or general idea you have for the proposal forms the basis for the purpose statement. There is no single or best way to construct a purpose statement. This clear concise purpose statement is important because it provides the basis for the entire proposal. The statement frequently begins with a clearly identified need:

We need to train ______________________________.
There is a need for more __________________________.
There is a shortage of ___________________________.

Appendix I.B.2 includes purpose statements which have been taken from successful applications. However, a clear concise purpose statement sets the stage for development of all the required components of the proposal.

If there is an appropriate colleague who should be involved with your proposal, and you feel reasonably certain that collaborating on this project would be mutually beneficial, ask that person to join you in developing the proposal. Collaboration can be of assistance in terms of ideas, workload, professional or political connections, and overall productivity. In fact, your proposal will carry much greater weight if it includes collaboration across disciplines, departments, schools, and agencies.

It is advisable to have an initial brainstorming and planning meeting (or split them into two) with as many potential consumers and contributors as possible. Contributors can help write the proposal, or submit a letter of support or intend to collaborate. Utilize the existing relationships you have first, and then develop relationships where new ones are needed. Your current colleagues may be able to help you expand the circle of involvement or impact. This way you can be sure your project meets all parties' needs and particularly the needs of those who might benefit from this effort.

Remember: If you ask the questions, you have to be prepared to do something with the answers.

You may not be able to respond if the need does not meet the scope of the present competition. However, all requests that fall reasonably within the award's intent should be considered for inclusion in the proposal.

It is critical to stay within the spirit of the competition. If your proposal's purpose is removed from the essence of the RFP's priorities, then your chances of getting funded are virtually nil, no matter how great your completed proposal. At a different level, if your plan of operation does not closely link with your purpose statement and objectives, you are not likely to receive a positive rating.

4. Specific Priorities Met

Be sure to highlight those aspects of your proposal which meets competitive priorities described in the announcement.

> *"An application that meets one or more of these competitive priorities is selected over applications of comparable merit that do not meet these priorities."*

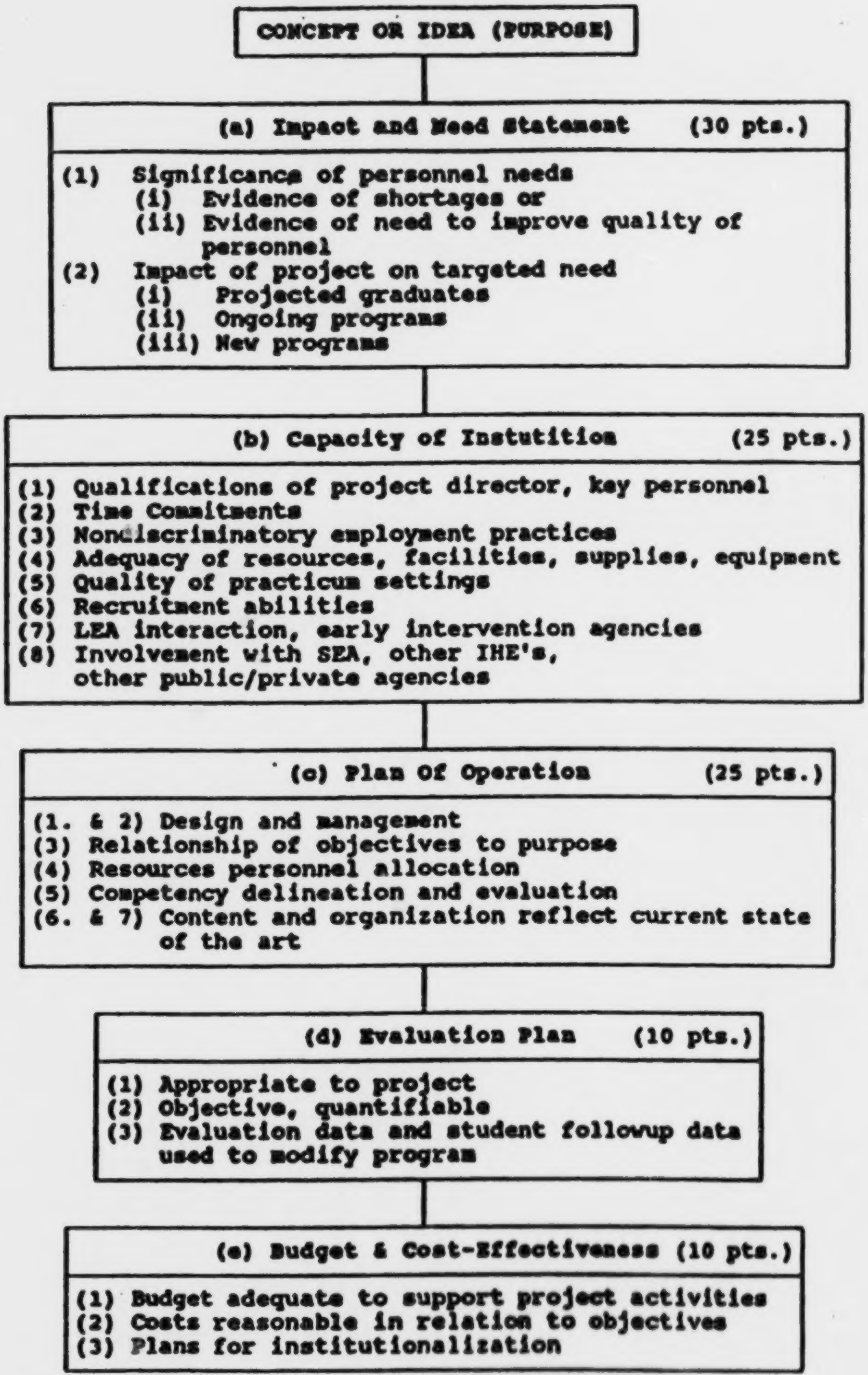
This statement is significant. The more priorities which can be appropriately and reasonable included as part of your proposal, the better your chances for funding. However, if you indicate that you plan to address specific priorities, then your budget and plan of operation should clearly include and support the priorities identified.

5. General Overview of Proposal Development

When you have focused your concept and developed a clear statement of where you are going (purpose), you are ready to begin writing the proposal. The following is a brief description of the five essential elements of a proposal. Figure I.B.1 presents a flowchart of these five components. The figure provides a visual reference for developing the total proposal. Please be assured that the details for each component are discussed later in this manual in Part III, Writing Components (a) - (e).

Figure I.B.1

PROPOSAL COMPONENTS



CONCEPT OR IDEA (PURPOSE)

(a) Impact and Need Statement (30 pts.)

(1) Significance of personnel needs
  (i) Evidence of shortages or
  (ii) Evidence of need to improve quality of personnel
(2) Impact of project on targeted need
  (i) Projected graduates
  (ii) Ongoing programs
  (iii) New programs

(b) Capacity of Instutition (25 pts.)

(1) Qualifications of project director, key personnel
(2) Time Commitments
(3) Nondiscriminatory employment practices
(4) Adequacy of resources, facilities, supplies, equipment
(5) Quality of practicum settings
(6) Recruitment abilities
(7) LEA interaction, early intervention agencies
(8) Involvement with SEA, other IHE's, other public/private agencies

(c) Plan Of Operation (25 pts.)

(1. & 2) Design and management
(3) Relationship of objectives to purpose
(4) Resources personnel allocation
(5) Competency delineation and evaluation
(6. & 7) Content and organization reflect current state of the art

(d) Evaluation Plan (10 pts.)

(1) Appropriate to project
(2) Objective, quantifiable
(3) Evaluation data and student followup data used to modify program

(e) Budget & Cost-Effectiveness (10 pts.)

(1) Budget adequate to support project activities
(2) Costs reasonable in relation to objectives
(3) Plans for institutionalization

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Specific Components

(a) Impact On Critical Present And Projected Need: (30 Points)

This section is where you provide the documentation that convinces your readers that your purpose (the training need you have identified) is worthy and appropriate. You will need to be aware of the most up-to-date research and provide local, state, regional, and national data to support this section.

(b) Capacity Of The Institution (25 points)

In this section you must clearly describe specifically how your institution can support what you indicated was needed to be done in the impact statement. You must also document with specificity how your institution can support all aspects of what you outline in the Plan of Operation section.

(c) Plan Of Operation (25 Points)

Here is where you describe the entire process for reaching the stated purpose of the proposal. One of the evaluative criteria included under this section is *"(3) How well the objectives of the project relate to the purpose of the program."* You should describe specific objectives and activities which ensure that the objectives will be met.

(d) Evaluation Plan (10 Points)

The evaluation plan must allow you to determine if you reached the project goals and the quality of attainment of your goals. The evaluation plan should also indicate how evaluative information will be gathered and how it will be used to modify program content or structure.

(e) Budget And Cost Effectiveness (10 Points)

This portion of the proposal is developed in conjunction with the information presented on the budget worksheets and the budget justification section. The panel evaluating your proposal will look carefully at project objectives and activities and will consider how you have allocated resources (both personnel and other resources requested) to meet those objectives. It takes careful planning in every component of the proposal to ensure that the end result is cost effective. Part IV, Budget Development, contains specific directions for all aspects of budget development.

6. A-Z of Proposal Preparation

A well developed proposal requires much planning and gathering of a variety of information. A checklist to guide in the proposal's development is found in Part III, Writing The Components.

Preparation for Writing

A. Data Gathering

There are a number of corollary activities that accompany the writing. Time spent in obtaining documentation ensures a quality proposal. The following narrative provides a brief description of the variety of data which is crucial to a successful application.

1. Institutional process approval and timelines. Begin by identifying the institutional process for approval of a proposal to be submitted to a federal agency. You will also need to determine if the office(s) which will provide approvals require a draft copy of the complete proposal, or if an outline and an abstract, along with the budget, is satisfactory.

2. Timelines. Once you have established the appropriate offices from which to obtain the required approvals and identified individuals within the offices, you need to establish a timeline to meet the deadlines. You will also need to establish timelines which ensure that adequate time is provided for word processing and copying of your completed proposal.

B. Needs assessment

Your proposal will be much stronger if you include a needs assessment or survey, which you use to accompany your arguments for the need you propose to meet. Sample surveys can be found in Part III, but consider such items as:

1. Assessment/Survey Developed
2. Assessment Mailed
3. Follow up to Mailing
4. Needs Survey Data Compiled for Use in Proposal

C. Input of groups to be impacted by proposed training

The input of various consumer or constituent groups is very helpful in writing your proposal. For example, a meeting with key public school personnel who are working daily with the target population for the proposal can be helpful to identify training needs. Other community agencies and organizations involved in serving the same population may be asked to provide specific types of input or information which will strengthen your proposal. Obtain information and provide documentation which verifies that no other Institutions of Higher Learning (IHE) in your state (or in your geographic region) provides any training in the area you propose. Provide a record of suggestions and input made by the groups and identify the types and numbers of participants involved. Consider such items as:

1. Meeting Date Set
2. Meeting Held
3. Minutes of Input
4. Information Organized for Use in Proposal

D. Letters of support

Request letters of support from the individuals and groups who participated in the meetings you convened to obtain input, as well as from those individuals or groups who participated in your needs assessment. You should provide the individuals with an abstract of your project to enable them to write a letter which specifically supports what you propose to accomplish if you are funded. It is also helpful if the individuals also note their participation (or that of agency or organization) in the planning sessions. Consider such items as:

1. Contact individuals and agencies for support,
2. File in separate folder as returned, and
3. Make copies for appendix.

E. Numerical support data

Numbers are important. You will need to gather data (local, state and national) to support your proposal. Such data may be incidence or prevalence data which affirms the numbers of students in the population which you plan to serve. Or, it may be teacher vacancies, teacher attrition data, or the number of teachers on waivers which supports your contention for the need to increase the number of professionals in a specific area. Your State Education Department, Health and Environment Department, local college or university data bank, and a variety of other state and community agencies and organizations are potential sources of such support data. If such data are not readily available, then the needs assessment or survey noted earlier might be most helpful. Other information in this manual provides sources which provide a variety of information which is helpful in supporting national need in a variety of areas. Consider such items as:

1. Local Data,
2. State Data, and
3. National Data.

F. Literature review

You will need to provide a concise, but thorough, review of literature pertinent to your proposal. This information complements the numerical need data you present and tells your reader you are knowledgeable about the area in which you are proposing training.

G. Vitae development

Provide a one or two page vita for each key member of the project. If you are proposing the funding of a Project Assistant, then you might want to include a vita of a potential graduate student for this position, which shows the quality of students available for such a position. Tailor the short vitae to highlight the person's experiences, background, publications, special skills and abilities which relate specifically to the proposed training.

H. Agreement letters

You should include a written agreement signed by all parties who are involved in a collaborative training effort. The various parties to such agreements should also provide support letters for your proposed project.

I. Institutional capacity

You must provide information which supports the capacity of your institution to meet the purpose and objectives of your proposal. You need to provide a description of the special features of your institution which will provide specific support to your proposal. This may include a description of your general library, any special libraries, computer labs or other technological capabilities, audio-visual capabilities, practicum sites, or any other special resources unique to your setting and supportive of your proposal.

J. Budget development

The following are some specific items of information which you must gather if you plan to request support:

1. Overall Budget Categories
2. Travel Policies & Regulations
3. In-state Travel
4. Out of State Travel
5. Per diem
6. Lodging Regulations
7. Key personnel Salaries
8. Clerical Salaries
9. Graduate Assistant Regulations
10. Tuition (Credit hour costs)

11. Stipend Regulations
12. Fringe Benefit Rates
13. Special Project Needs.

K. Budget

The following are specific forms which will need information and signatures. These are discussed in Parts III, IV, and V of this manual:

1. Budget Detail
2. Budget Justification
3. Federal Budget Forms
4. Contributed Budget
5. Face Sheet
6. Assurances & Disclosure Forms.

Writing the Proposal

L Proposal Components

Your writing efforts will be directed toward five major categories. They are identified below and in Figure I.B.1. Part III is devoted to these five components:

1. Impact Statement
2. Capacity
3. Plan of Operation
4. Evaluation Plan
5. Budget & Cost Effectiveness.

M. Wordprocessing, editing, revisions

Editing, rewriting, and wordprocessing will be ongoing throughout the proposal writing stage. You will need to identify individuals who will be responsible for the various steps and be sure that resources are allocated to ensure you will meet the proposal deadline.

Double-spaced documents are expected for easier reading. In addition, larger typeface, boldface headings, underlining of headings or key terms, and plenty of white space provide a finished document which is easier to read. Easier reading makes for greater comfort levels on the part of reviewers and, thus should be an important consideration in the preparation of the document. However, the space limit sometimes makes it difficult to say everything in 20 double-spaced pages. Change the typeface to a smaller print with more characters per line and place support data in your appendices. Do your best to be as concise as possible, so that you can stay within the prescribed limits (if stated). Be sure to review the RFP for other guidelines related to the physical presentation of the proposal.

N. Preparing graphics

Attractive graphics carry impact. Call upon your college's or division's experts to assist you to develop the graphics you need for charts, figures, tables, graphs, or other visual messages. Become skilled yourself at generating impressive graphic aids so that you can quickly communicate the message you need to convey.

You can strengthen narrative and shorten it by providing figures, charts, and tables which provide a visual reference for your readers. There are many computer software programs available which are designed to produce excellent graphics (samples can be found in Part II of this manual). It truly is to your advantage to take the time to summarize information in chart form where appropriate. If figures or tables do not work for the need or plan you are conveying, you may have supporting paperwork (reports, numbers, instruments, meeting minutes) that should be either:

1. excerpted within the narrative, or
2. referred to in the narrative and included in an appendix.

O. Appendices

You should compile your appendices as you develop your proposal. Appended material should clearly support information in the narrative. Prepare a separate file folder for each appendix and insert material you have taken from other sources or specific information you have developed to support your proposal.

P. Order Headings

As you check your finished product for accuracy, be sure the headings and subheadings fall into a consistent hierarchy of order, as illustrated below.

III. MAJOR HEADING
  (A) SIDE HEADING
    (1) Subheading
      (i) Minor Subheading

Also, check to ensure that the headings and subheadings are correct and complete for they become the table of contents.

Q. Table of Contents

When you have almost completed your proposal, you should develop your table of contents. Turn to the first page (or monitor screen) of your proposal. On a blank sheet of paper entitled "Table of Contents," write down in order each of the headings, subheadings, and appendices found throughout your proposal (see Appendix I.B.2). As you write them, mirror the way they appear in the proposal. For instance, if headings are capitalized and boldfaced, leave them that way in your Table of Contents. Viewing the listing in the table of contents can help you identify any inappropriate headings or lack of parallel subheadings. Under the heading of "Appendices," indent to list each letter (e.g., "C") and then the title of each appendix (e.g., "Vitae of Key Project Staff"). You should also include separate listings of any tables, charts, or figures. Finally, make sure that the numbers provided in the Table of Contents correspond to the page numbers in the narrative.

R. Abstract

You must include a one page abstract of your proposal. Include statements about the need for the project, the objectives of your project, the proposed plan of operation, and inform the reader of the project's significance or intended outcomes. Examples of abstracts are included in Appendix I.B.3.

Post-Proposal Writing Tasks

S. Getting University Approvals

Most colleges and universities have developed standardized "proposal routing sheets." These often require you to detail your proposed budget again, list faculty who will work on the project if it is funded, show all university contributions, and obtain sign offs from various administrators (chairperson, dean, provost). These signatures indicate approval of the proposal, including the budget, to the person who has the authority to sign the federal forms.

T. Institutional sign-off

Now it is time to get signatures on the face page and all other assurance and disclosure forms included with the grant application package. Often it is helpful to the official who needs to sign these forms to tag the pages where signatures are required. This should avoid missing a place for a necessary signature. Remember, these pages with original signatures **MUST** be sent with your proposal.

U. Copying proposal

You will need to make the correct number of copies as stipulated in the RFP as well as copies for your institution, your files, and yourself.

V. Verifications

This is the time to be compulsive. Check your copies to be sure everything is included (budget forms and all front sheets, table of contents, abstract, all components of the proposal, appendices, etc.). It is a documentable fact that copy machines frequently digest selected pages or, sometimes, even complete sections. This is more likely to happen when the proposal is copied in sections. REMEMBER, THE ORIGINAL SIGNATURE MUST BE IN THE PACKAGE YOU SEND TO WASHINGTON, D.C.

W. Mailing

Your copies may be sent in a well secured large envelope or in a box secured with strapping tape. Provide a label with the correct address (which is provided in the back of the RFP) and be sure that the label is adequately secured. Remember, this is the time to be compulsive. Wait! Do you have the correct number of copies included? SEND YOUR PACKAGE BY CERTIFIED MAIL AND REQUEST A RETURN RECEIPT.

X. Record Keeping

Place the return receipt in a file with copy of your proposal. Place the communication which affirms receipt of your document by OSERS in the same file.

Y. Thank you

It is likely many people helped you meet the deadline. This is the time to show your appreciation for their extra efforts.

Z. Waiting

Now you wait for months to find out the fate of your application. If you were successful, you will receive a phone call which tells you that the Department of Education would like to make a phone appointment to negotiate your award. If not, you will be notified by mail and should write back requesting the reviewers' comments for your proposal.

Appendix I.B.1

The Federal Register

(Insert Federal Register Here)

federal register

Appendix I.B.2

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Appendix I.B.3

Sample of Abstracts

ABSTRACT

The special education doctoral leadership program described in this proposal responds to two dimensions of the need for minority special educators: (1) a quantitive dimension that addresses the severe shortages of minority leaders and researchers in the special education field, especially at the IHE level; and (2) a qualitative dimension that focuses on the concomitant lack of culturally diverse leadership and research paradigms that would make IHE programs both more "user-friendly" and capable of producing graduates competent in multi-cultural leadership and research.

The proposed program would, thus, incorporate some unique factors into the existing special education doctoral training program at the University of New Mexico. The monies requested are for the development and implementation of these factors: (1) a training component that seeks to recognize and develop culturally diverse leadership and research factors such as the holistic, wheel-based teaching/learning methodologies common to many American Indian Populations (Locust, 1988); (2) a component that addresses self-empowerment vis-a-vis the aftereffects of minority life experiences; (3) active research involvement with nationally recognized mentors and minority-focused research sites; and (4) peer mentoring modeled after aspects of traditional Hispanic and American Indian cultures. No monies are sought for support of existing training components; these components (e.g., existing courses and training experiences) would, however, form a vital part of the proposed program in order to enable students to receive terminal degrees competitive with those of non-minority students.

It is expected that the proposed program would impact significantly in several ways, both locally and nationally:

(1) it would add 10-17 graduates to the currently limited pool of minority leaders and researchers in special education;
(2) it would impact on an estimated non-minority graduates for the university as well, through the integration of courses and structured interactions between these students and program students;
(3) results of student's research, both during their training and afterwards, would add to the limited pool of data on culturally/linguistically sensitive curriculum and materials; and
(4) it would produce data on effective, culturally diverse leadership and research paradigms at the IHE level.

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ABSTRACT

The primary purpose of this project is to develop trained bilingual/bicultural teachers or trained monolingual/monocultural teachers, to work with young culturally and linguistically different exceptional (CLDE) children and young limited english proficient (LEP) children. Five project objectives have been identified to carry out the project purpose:

1. To identify, screen, and accept a minimum of 10 and a maximum of 25 trainees per year for entrance into the training program for teachers of young (3-8 years) culturally and linguistically different exceptional (CLDE) children and limited English proficient (LEP) handicapped children. Both bilingual/bicultural and monolingual/monocultural trainees will be selected.

2. To recruit and fund 5 full-time and 7 part-time trainees, including both bilingual/bicultural and monolingual/monocultural individuals who will return to the rural areas of the state to work with young CLDE/LEP children and to recruit, train, and fund city and area residents in an effort to meet both rural and urban personnel needs.

3. To develop and implement an interdisciplinary training sequence which will: (1) provide trainees with the knowledge, skills, and competencies identified as appropriate to teachers of young CLDE children and LEP exceptional children in rural and urban New Mexico, as well as respond to national norms and standards and state certification requirements; (2) provide appropriate, varied, and continuous practicum experiences that allow for meeting individual needs; (3) meet the needs of trainees with various backgrounds and skill levels.

4. To refine existing competencies which delineate the multicultural knowledge and skills specific to personnel preparing for careers with young CLDE/LEP children, to integrate competencies into the overall curriculum, and to field test developed competencies.

5. To develop training packages to be utilized in coursework in core classes, or to serve as samples which can be checked out by teachers, which will assist teachers in meeting the needs of young CLDE children and LEP exceptional children who may present unusual needs in terms of their bilingual/bicultural background, and accompanying physical, medical, or chronic health problems.

The Project Activities/Timeline Chart identifies major project activities and clearly assigns task and evaluation responsibility to individual project staff members. A comprehensive evaluation plan (narrative) and specific evaluation questions (Appendix V) have been developed to ensure appropriate project evaluation.

II

Preparation

A. Long Range

1. Proposal Development Checklist
2. Building a Support System
3. Building a Generic Data Bank

B. Short Range

1. Brainstorming
2. Identifying Principal Investigator/Team
3. Graphics
4. Specific Budgeting
5. Identifying Resources

Appendix

II.B.1 Sample Graphics and Timeline/Activities Charts

1. PROPOSAL DEVELOPMENT CHECKLIST

COMPLETE	(A) DATA GATHERING STEP	PERSON RESPONSIBLE	COMMENTS
	1. Institutional Approval Process Identified		
	2. Timelines Established		
	3. Budget, Disclosures, Assurances		
	4. Word Processing		
	5. Copying		
	(B) NEEDS ASSESSMENT		
	1. Assessment/Survey Developed		
	2. Assessment Mailed		
	3. Follow up to Mailing		
	4. Needs Data Complied for Use in Proposal		
	(C) INPUT OF GROUPS		
	1. Meeting Date Set		
	2. Meeting Held		
	3. Minutes of Input		
	4. Information Organized for Use in Proposal		
	(D) LETTERS OF SUPPORT		

COMPLETE	DATA GATHERING STEP	PERSON RESPONSIBLE	COMMENTS
	1. Contact Individuals, and Agencies for Support		
	2. File in Separate Folder as Returned		
	3. Make Copies for Appendix		
	(E) NUMERICAL SUPPORT DATA		
	1. Local Data		
	2. State Data		
	3. National Data		
	(F) LITERATURE REVIEW		
	(G) VITAE DEVELOPMENT		
	(H) AGREEMENT LETTERS		
	(I) INSTITUTIONAL CAPACITY DESCRIPTIONS		
	(J) BUDGET DEVELOPMENT		
	1. Overall Budget Categories		
	2. Travel Policies & Regulations		
	3. In-state Travel		
	4. Out-of-State Travel		
	5. Per diem		

COMPLETE	DATA GATHERING STEP	PERSON RESPONSIBLE	COMMENTS
	6. Lodging Regulations		
	7. Key Personnel Salaries		
	8. Clerical Salaries		
	9. Graduate Assistant Regulations		
	10. Tuition (credit hour costs)		
	11. Stipend Regulations		
	12. Fringe Benefit Rates		
	13. Special Project Needs		
	(K) BUDGET		
	1. Budget Detail		
	2. Budget Justification		
	3. Federal Budget Forms		
	4. Contributed Budget		
	5. Facesheet		
	6. Assurances & Disclosure Forms		

COMPLETE	(L) PROPOSAL WRITING	PERSON RESPONSIBLE	COMMENTS
	1. Components of Proposal		
	i. Impact Statement		
	ii. Capacity		
	iii. Plan of Operation		
	iv. Evaluation Plan		
	v. Budget and Cost Effectiveness		
	2. Word Processing, Editing and Revisions		
	3. Preparing Graphics		
	4. Appendices		
	5. Table of Contents		
	6. Abstract		

COMPLETE	(M) POST-PROPOSAL WRITING	PERSON RESPONSIBLE	COMMENTS
	1. Institutional Signoffs		
	2. Duplication of Proposal		
	3. Verifications		
	4. Mailing		
	5. Record Keeping		
	6. Thank Yous		
	7. Waiting		

2. Building a Support System

A. Institutional

Institutional process approval and timelines. Begin by identifying the process for institutional approval of a proposal to be submitted to a federal agency. You will also need to determine if the office(s) which will provide approvals will require a draft copy of the complete proposal, or if an outline and an abstract, along with the budget, will be satisfactory.

Letters of support. Request letters of support from the individuals who participated and groups which were represented in the meetings you convened to obtain input, as well as from those individuals or groups who participated in your needs assessment. You should provide these individuals with an abstract of your project, so they are able to write letters which specifically support what you propose to accomplish. It is also helpful if the individuals also note their participation (or that of their agency or organization) in your planning sessions or in your needs assessment.

B. LEA/SEA

Input of groups to be impacted by proposed training. The input of various consumer or constituent groups will be helpful in writing your proposal. For example, a meeting with key public school personnel who are working daily with the target population can provide you with related data on the needs of children. Other community agencies and organizations involved in serving the same population may be asked to provide specific types of input or information which will strengthen your proposal. Obtain information and provide documentation which verifies that no other Institution of Higher Education (IHE) in your state (or in your geographic region) provides any training in the area you propose. Keep a record of the suggestions and input you received. Be sure to identify the groups, the types, and the numbers of participants, so this information may be incorporated into your proposal.

Numerical support data. Numbers are important. You will need to gather data (local, state, and national) to support your proposal. Such data may be incidence or prevalence data which affirms the numbers of students in the population which you plan to serve. Or, it may be teacher vacancies, teacher attrition data, or the number of teachers on waivers which support your contention for the need to increase the number of professionals in a specific area. Your State Education Department, your Health and Environment Department, your local college or university's data bank, and a variety of other state and community agencies and organizations are potential sources of such support data. If such data are not readily available, then the needs assessment or survey noted earlier will be most valuable. Other information in this document and available from the Alliance Clearinghouse provides some national sources of information which might be helpful in supporting national need in a variety of areas.

Cooperation with the State Education Agency, Other IHEs, and Other Public and Private Agencies. Some of this information may have been provided under the Plan of Operation or Adequacy of Resources. Regardless, it is important to add information here that documents your agency's and your individual collaborations with pertinent groups such as:

State Department of Education;
State-designated lead agency under Part H of IDEA if appropriate;
Other institutions of higher education (IHEs) such as community colleges and universities; and,
Other public or private agencies linked to your targeted need.

In particular, how have you worked jointly with them in the past, or how are you working together now, to identify personnel, training, and other needs in your region? Be sure to include parent groups and consumer organizations as appropriate. List the exact role of you or your agency when cooperating with any of the other entities. How often do you work together and what form do those efforts take? How will grant support lead to greater collaboration? How will these collaborative efforts contribute to the long-term impact of your project after external funding is gone?

3. Building a Generic Data Bank

A. Literature Review

Literature review. You will need to provide a concise, but thorough, review of literature pertinent to your proposal. This information complements the numerical need data you present and tells your reader you are knowledgeable about the area in which you are proposing training.

B. Need

(a) IMPACT ON CRITICAL PRESENT AND PROJECTED NEED (30 points)

(1) Significance of the Personnel Needs

You have two suggested types of evidence to delineate in this section. If your aim is to increase numbers of trained personnel, then you need evidence of critical shortages. If your purpose is to improve the competencies of existing personnel, then you need evidence to show such competencies are lacking.

(i) Evidence of critical shortages of personnel

A crucial component of your proposal must address the needs that exist in your service area. This is necessary in order to convince the readers of your proposal that your institution, region, or state should receive the award. Many writers have found it useful to divide this section into national and local (including state) needs so that data from both levels can demonstrate the need for the project.

General needs. **At the national level**, your "General Needs" section will draw upon findings that relate closely to the area in which you are planning, such as training for ancillary staff or family interventions. You should draw from a variety of resources to get thorough descriptions of general need for your proposed efforts.

Experienced grant writers often draw upon recently developed materials for a ready source of data.

Convincing data can be found at four possible sources:

1. The Alliance 2000 Project East and West Offices have staff who are working on developing general needs statements in major areas of concern.
2. Existing government, organizations, and agencies data bases, such as the Department of Education's Annual Report to Congress which contains a wealth of information about students, their characteristics, reasons for leaving school, and projected needs in the future.
3. The ERIC Clearinghouse and the National Information Clearinghouse for Handicapped Youth (NICHY) possess valuable data.
4. The current literature that is closely related to your topic can be located by students and graduate assistants and will provide a solid foundation for your proposal.

The following are examples of the kinds of data that are most critical and appropriate.

1. Numbers of vacancies in the profession you have targeted.
2. Numbers of noncertified personnel on waivers.
3. Numbers of students or adults in the target categories so you can project present and future needs.
4. Numbers of teachers serving those groups and their "match" to their constituents.
5. Numbers of paraprofessionals or vacancies.
6. Breakdown of students/adults by demographic categories (ethnicity, gender, age, severity level, or special needs).
7. Projected needs in the future.
8. Outcomes data from follow-up studies.
9. Any other specific traits or needs pertinent to your proposal.

Priorities in relevant organizations (such as the Council for Exeptional Children, National Association for Bilingual Education, American Speech and Hearing Association, parent organizations) or agencies (such as the State Department of Education, Human Services, the Commission on Higher Education) that relate to your project's purpose.

NOTE: A directory of relevant agencies and organizatons at the national level is soon available from the Alliance 2000 Project staff.

Specific needs. There are many sources of data typically at the state level. They would be:

1. State Department of Education Evaluation Unit (or its equivalent);
2. Developmental Disabilities Bureau or Planning Council;
3. State Association for Retarded Citizens/Developmental Disabilities;
4. Governor's Committee on Concerns of People with Disabilities;
5. Other representative agencies (e.g., Department of Labor, Department of Health and Environment, Division of Vocational Rehabilitation);
6. Organizations such as the Council for Exceptional Children, National Association for Young Children, or Council for Learning Disabilities; and
7. State committee for Comprehensive System of Personnel Development (CSPD).

At the local level, school districts' data management units may be helpful. Check with parent organizations and community agencies related to your project as well.

A common, but important source, of specific needs data is a statewide, or local, needs assessment. A needs assessment or survey does not need to be highly sophisticated, complicated, or lengthy. It should, however, provide information to directly support your case for a critical present or projected need. Such a survey provides one of the best means by which to ensure comprehensive and representative input.

In addition, conducting a regional or statewide survey carries a great deal of weight with readers.

Mailing the surveys with stamped, pre-addressed return envelopes, and then following up with postcards as reminders, or phoning nonrespondents has proven successful in some instances. One parent organization serving rural citizens obtained best results by mailing the form with a note first and then calling a week later (where possible) to actually collect the data over the phone. One district decided they would do best by dividing up the forms among a team and making office, school, or home visits to personally gather the information.

(ii) Evidence showing significant need for improvement in quality of personnel

If improving competencies of personnel is your aim, you will need to compare the actual skills held by personnel in the targeted specialty or geographic area to the desired or needed skills. This comparison may be accomplished in a number of ways. Review section (i) above to get ideas about how to document both the general need (the national picture) as well as the specific need at your local or state level. Many of the agencies and organizations listed previously may have information about the lack of competencies among existing personnel.

A survey would provide the most quantitative support for the need to improve skills of personnel. A sample Competency Survey is presented in Figure III.a.1. Three responses are presented for the specific types of skills of the target group. Three response columns parallel the list. The first column (A) is to rate current skill levels (as with a Likert 0-4 scale), and the second (B) is to rate desired skill levels. Subtract (B) from (A). The final column (C) is to document the discrepancy, if any, for each skill. Distribute the survey to numerous members of the pertinent groups affected by the lack of competencies such as consumers, parents, staff, and administrators.

Figure III.a.1.

SAMPLE COMPETENCY SURVEY SEGMENT

Please rate yourself (or your employees) on each competency listed below, as follows:

Column A is for current skill level
Column B is for ideal skill level
Column C is for discrepancy between the two

Each rating scale ranges from 0 (skill is totally absent) to 4 (outstanding level of accomplishment).

CIRCLE THE LEVEL THAT BEST REPRESENTS YOUR (OR YOUR EMPLOYEES') LEVEL OF SKILL IN COLUMN A, THEN CIRCLE THE LEVEL THAT YOU (OR THEY) SHOULD HAVE IN COLUMN B.

Category & Specific Competencies	Column A Current	Column B Ideal	Column C (+-)
3. BEHAVIOR MANAGEMENT			
3a. Primarily uses positive behavior management techniques with all students.	0 1 2 3 4	0 1 2 3 4	-2
3b. Applies variety of management strategies depending on individual students' situations.	0 1 2 3 4	0 1 2 3 4	-3

(2) Impact of Project on Targeted Need

(i) Projected number of graduates

One of the ways to demonstrate the possible impact of the project on the targeted need is by projecting the number of graduates of your program who will have the necessary competencies and certification to affect the need. Based on your budgeted tuition and other support, answer the following questions:

A. How many persons can you recruit?

B. Are there enough unemployed or underemployed individuals in your service area who might be seriously interested in being trained in this field?

C. What about parents or educational assistants as a recruitment source? Is there a ready pool of potential recruits who might want to pursue your training program?

D. Did you make important contacts during your needs assessment of who can help with the recruitment process?

Your projected number of graduates should be as high as you believe is achievable given present resources and those requested, so that you can show serious potential impact on the targeted need. Be sure that the number is reasonable and possible to accomplish.

(ii) For ongoing programs, numbers of previous graduates

If you have already been doing training in the targeted area, do the number of previous graduates show a trend that supports your projected numbers? Where and in what kind of positions are the graduates currently employed and how are they contributing to the targeted need?

(iii) For new programs, program features' tie to needs

Your evidence of potential impact should be delineated by the specific features of your proposed project if you are developing a totally new training program. Translating this into action means you will need to describe how closely project activities will affect the lives of the target population. How closely will project activities have an affect on the needs identified by your state's CSPD priorities, or any other pertinent organization's priorities? How are students with disabilities going to be affected?

It is appropriate to state what you believe will happen regarding the importance of the project and the benefits it will generate, but you should tie your statement to realities. Go back through your needs assessment findings, if applicable, and explain how the components of your project will influence those identified needs. **Be specific.** For example, is it possible to tie local or state administrators into providing either informal feedback or formal evaluation of your project? That might be one way to show the relationship of your project to employers' priorities and students' needs.

Your next task is to outline your plan to help your program graduates locate jobs in the targeted specialty or geographic area. Links to your Career Placement Office should be stated here, perhaps accompanied by a letter of support or a description of services which you can include in an appendix of your application.

This is a good place to refer to your letters of support if they mention the project's possible impact, employment opportunities, or other relevant items.

A final way to document potential impact is to outline the ways your project will insure that participants will indeed gain the competencies needed to impact the targeted need. Briefly summarize your monitoring and evaluation strategies and other means by which your project will graduate well-trained individuals. Much of this can be accomplished by referring to support material which you place in the application's appendices, such as competency matrices, measurement procedures, and evaluation tools.

C. Budget

Budget development. There are some pieces of information which should be gathered before you begin writing, or you will find yourself scrambling for information at the last minute. Though the Budget Development Document treats this information in depth, the following are some specific items of information which you must gather if you plan to request support:

1. Travel policies and guidelines (in-state and out of state),
2. Mileage rate,
3. Per diem,
4. Lodging policies,
5. Key personnel salaries (contract salary and number of days),
6. Clerical salaries,
7. Other staff and graduate assistants,
8. Tuition and stipends,
9. Fringe benefits,
10. Special needs of project (e.g., studio time, editing).

D. Capacity

Institutional capacity. You must provide information which supports the capacity of your institution to meet the purpose and objectives of your proposal. You need to provide a description of the special features of your institution which will provide specific support to your proposal. This may include a description of your general library, any special libraries, computer labs or other technological capabilities, audio-visual capabilities, practicum sites, or any other special resources, unique to your setting and supportive of your proposal.

E. Vitae

Vitae development. Provide a one or two page vitae for all key project personnel. If you are proposing the funding of a Project Assistant, then you might want to include a vita of a potential graduate student for this position, which shows the quality of students available for such a position. Tailor the short vitae to highlight the experiences, background, publications, and other special skills and abilities which relate specifically to the proposed training.

1. Brainstorming

It is advisable to have an initial brainstorming and planning meeting (or split them into two) with as many potential consumers and contributors as possible (whether they help write the proposal or simply submit a letter of support or intent to collaborate). Tap into the existing relationships you have first, and then develop relationships where new ones are needed. Your current colleagues may be able to help you expand the circle of involvement or impact. This way you can be sure your project meets all parties' needs as much as possible, particularly the needs of those who might directly and indirectly benefit from this effort. Remember: if you ask the questions, you have to be prepared to do something with the answers. You may not be able to respond if the need is not in line with the scope of the present competition. However, all requests that fall reasonably within the award's intent should be considered for inclusion in the proposal.

2. Identifying Principal Investigator/Team

If there is an appropriate colleague who should be involved with your proposal, and you feel reasonably certain that collaborating on this project would be mutually beneficial, ask that person to join you in developing the proposal. You will be far better off in terms of ideas, workload, professional or political connections, and overall productivity. In fact, your proposal will carry much greater weight if it is collaborative across disciplines, departments, schools, and agencies, than if it reflects narrow parameters.

(1) Qualifications and Accomplishments of the Project Director and Other Key Personnel

This section should address the formal training of key personnel. The documentation should include related publications and professional contributions that are pertinent to the project. It works best to have a paragraph for each key person, starting with the Project Director (PD). Start each paragraph with the person's name and what their role will be (e.g., "Dr. Adam will serve as the Materials Specialist for the proposed project"). The remainder of the items for each person might include:

1. Amount of time projected for project activities, both grant-supported and contributed by your institution.
2. College degrees, or specific emphases or coursework related to the target need.
3. Professional development experiences, such as workshops, focused conferences, certification training related to proposed training.
4. Work or volunteer experiences that resulted in particular expertise of importance to the project.
5. Research studies, case studies, or other inquiry endeavors related to the project.
6. Reference to selected works by the person that are related to the project.
7. Participation in key task forces, advisory boards, or other efforts that are major contributions to the profession or area.
8. Personnel's experience in training the targeted group or specialty.

Finally, you should describe each person's task and responsibilities in the project. Thus, the relationship between the person's expertise and assigned duties will be clear.

If some of your project personnel are not yet identified, such as project assistants or research coordinators, you can describe the pool from whom these staff will be drawn. List the minimum qualifications they will need and their responsibilities. You may want to refer to several vitae in an appendix (such as doctoral or master's degree students or community professionals) who represent willing or possible recruits for your staff positions.

(2) Time Commitment of Each Person

How much time will each key person give to the project? A personnel loading chart is often the best way to visually depict each individual's commitment because it allows readers to understand the overall workload quickly. (Remember some of this time can be a college or university contribution.) Be accurate in your FTE (full-time equivalents) allotments.

Be sure to plan adequate time commitment on the part of all key personnel, especially the Project Director. A frequent criticism by readers is that the Director is inadequately committed to the project.

Clerical/Secretary

Describe the clerical duties which this person will perform. Include such things as correspondence, management of project records, management of student records, typing, and filing. The duties should be consistent with the FTE you have requested in the budget detail and consistent with the work scope of the project.

Other Staff

Staff positions should include the staff members' names and degrees. Briefly mention unique skills which the staff member will contribute to the project. These skills should relate directly to the goals, objectives, and work scope of the project. Describe specifically the duties of the staff person. For example, "Dr. John Buck has 11 years experience testing and designing programs for students with severe or profound disabilities. He will be responsible for teaching courses in assessment of students with multiple disabilities. In addition, Dr. Buck will consult with the project staff on designing programs for students with severe or profound disabilities." Again, specify the amount of time each staff member will commit and when the work will be done (summer, fall, spring). A sample personnel loading chart (and directions for its construction) can be found in Part III, Section B, p.4.

(3) Nondiscriminatory Employment Practices

Your proposal must reflect how you, as a part of your institution's nondiscriminatory employment practices, will ensure that project personnel are hired without regard to ethnicity/race, national origin, gender, age, or disability.

3. Graphics

Preparing graphics. Attractive graphics carry impact as well. Call upon your college's or division's experts in assisting you to develop the graphics you need for charts, figures, tables, graphs, or other visual messages. Better yet, become skilled yourself at generating impressive graphic aids so that you can quickly communicate the message you need to convey. However, do not decide to develop this skill while you are attempting to develop your proposal!

You can strengthen narrative and shorten narrative by providing figures, charts, and tables which provide a visual reference for your readers. The appendix at the end of this section contains examples of such graphics. There are many software programs available which are capable of allowing you to produce excellent graphics. It truly is to your advantage to take the time to summarize information in chart form where appropriate. If figures or tables do not work for the need or plan you are conveying, you may have supporting paperwork (reports, numbers, instruments, meeting minutes) that should be either:

-- excerpted within the narrative, or

-- referred to in the narrative and included in the appendix.

Once the objectives are clearly stated, the next step is a description of the process by which the requested financial support (personnel, materials, and other resources) will be distributed to meet the various objectives. This can be done efficiently by developing a chart which delineates the project objectives and notes timelines, activities, and how you will allocate resources (please see Appendix II.B.1 for samples).

Such a visual is useful for at least four reasons. First, it is very helpful in guiding overall proposal development, including the budget allocations process. During the initial development stage the chart serves as a management tool for identifying the financial resources required to support the specified project objectives and activities.

Second, when the proposal is submitted, this chart provides support for how you chose to distribute the requested funds. It should be referenced throughout your narrative, as appropriate. The budget figures, the budget justification narrative, and the Project Objectives\Timelines\Activities\Resource Allocations Chart should all be in agreement.

Third, such a chart also serves as a highly effective visual reference for supporting project narrative in the Plan of Operation Section. The project narrative for this section can be more concise, because so much specificity can be provided in this one chart. In fact, this one chart may be referred to as supporting information in several sections of the proposal.

Finally, the inclusion of such a chart makes it much easier to write a strong evaluation section, because the tasks to be evaluated and the allocation of resources are clearly identified. It is difficult to develop a good evaluation component if it is impossible to determine what should be evaluated.

4. Specific Budgeting

A. Budget Detail

When you have gathered the information essential to developing your budget and have decided how to allocate the total dollars you plan to request, you are ready to begin the development of your budget detail. The BUDGET DEVELOPMENT DOCUMENT (Part IV) contains a worksheet that might assist you in developing your budget. When you respond to an RFP, the average range of awards for specific competitions are provided. Most proposal writers use these estimated figures to guide the overall budget development. Figure II.b.1 contains an example of a Budget Detail as it would be prepared to accompany a proposal.

Some proposal writers include no specific section for this heading or these two subheadings; they tend to believe that the budget detail and budget justification sections address this topic adequately. However, it is quite easy to include this heading, as well as the subheadings, and provide the reader with a summary paragraph which points out that the budget detail and budget justification clearly support the overall project goal and the specific objectives of the project. Refer the readers once more to the chart which includes all information on objectives, activities, timelines, and resource allocations. You might provide a summary statement of how much of the budget provides support to students (if you have requested a great deal of support in this area), or a statement which highlights some other feature of your proposal. If your institution or another agency has made noteworthy in-kind contributions, this would be an appropriate place to highlight such contributions.

The proposal must include long-range plans which indicate how the proposed program will function when federal funds are no longer provided. This ensures that programs initiated with outside support will continue beyond the final funding date of a specific award. Provision of such a plan should not be overlooked in the development of the total proposal.

If your institution has a history of beginning programs with federal dollars and then continuing such programs after termination of federal funds, such documentation is helpful when you are requesting support for a new program.

A fourth procedure is to outline a specific plan which will be implemented when the programs begins. Such a plan would include specific information that would indicate how local education agencies, other colleges and universities in the area or region, and the State Education Agency or other agencies or organizations will be working together to ensure continuance of the program when federal dollars are no longer available. Such a plan could be strengthened if the proposal contains support letters or letters of agreements from individuals who represent a variety of agencies and organizations.

BUDGET DETAIL

FIGURE II.B.1

	ITEM COSTS	CATEGORY TOTALS
PERSONNEL SALARIES & BENEFITS		
Project Director		
.20 FTE X $54,000	$10,800	
10 Summer Research Days X $54,000/195 DAYS	$ 2,769	
Project Assistant		
$8,000	$ 8,000	
Secretary		
.50 x $17,500	$ 8,750	
Part time instruction 3 courses x $2,250	$ 6,750	
TOTAL SALARIES	**$37,069**	
*Fringe Benefits @22% of Salaries	$ 8,155	
Workmens Compensation		
Insurance		
Fica		
Retirement		
Other Benefits		
TOTAL FRINGE BENEFITS	**$ 8,155**	
TOTAL SALARIES & BENEFITS		**$45,224**
TRAVEL		
1 trip to CEC in Washington, DC for Project Director		
Airplane Fare - Round Trip	$880	
Per Diem 4 days x $50 per day	$200	
Lodging 3 days x $120 per day	$360	
Ground travel and transfers	$ 50	
TOTAL TRAVEL		**$ 1,490**

* Negotiated univesity rate for both faculty and staff.

SUPPLIES

Office supplies		
$40 per month x 12 months	$ 480	
Instructional Supplies		
$60 per month x 12 months	$ 720	
Instructor Supplies		
$50 per month x 12 months	$ 600	
Video tape		
20 cassettes x $4.20	$ 84	
TOTAL SUPPLIES		**$1,884**

CONTRACTUAL

Consultants		
$250 per day x 3 days	$ 750	
Per Diem 4 days x $30 per day	$ 120	
Lodging 3 days x $100 per day	$ 300	
Airplane Fare		
$650 per round trip	$ 650	
TOTAL CONTRACTUAL		**$1,820**

OTHER

Telephone	
Long Distance Charges	
$25 per month x 12 months	$ 300
Phone line costs $20 per month	
Student Stipends	
10 students x $200 per month x 12 months	$24,000
Student Tuition	
Academic Year	
10 students x 12 hours	
2 semesters x $85 per hour	$20,400
Summer School Tuition	
10 students x 6 hours x $85 per hour	$ 5,100

Project Assistant		
Academic year		
12 hours x 2 semesters x $85 per hour	$ 2,040	
Project Assistant		
Summer school		
6 hours x $85 per hour	$ 510	
Copying		
$45 per month x 12 months	$ 540	
Film Rental		
1 day x $70/day	$ 70	
1 day x $130	$ 130	
Recruitment		
Flyers & Borchure	$ 400	
Newspaper ads		
Campus paper - 2 ads x $40 each	$ 80	
Local Daily 2 ads x $55	$ 110	
TOTAL OTHER		**$53,680**
TOTAL DIRECT COSTS		**$104,098**
INDIRECT COSTS		
Total direct Costs x 8%		**$8,328**
TOTAL CHARGES		**$112,426**

5. Identifying Resources

(4) Adequacy of Resources, Facilities, Supplies, and Equipment

This section requires specific facts about the physical support that your agency, and any participating agencies, plan to commit to the project. Describe the types of facilities (eg., offices, classrooms, computer labs) and equipment (eg., microcomputers, file cabinets, audiovisual) that will be provided and where they are located. Outline which project staff will use which equipment and facilities. It is important to specifically define how these facilities and equipment will support project objectives and activities.

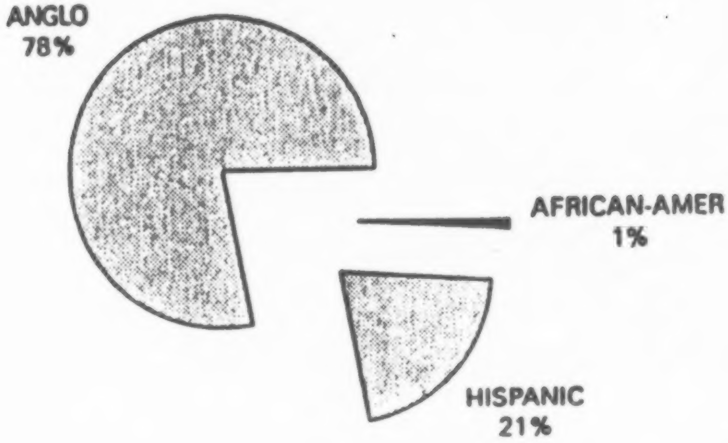
A description of the resource materials to which project staff will have access should be included. Are there print, software, or audiovisual collections available and where are they? Include a description of available telecommunications such as electronic mail systems for information gathering and dissemination and distance education support.

All pertinent library collections should be described. Be sure to include the expertise and data found in other departments at your campus or at other locations, such as the regular education, bilingual education, counseling, family studies, and educational administration units. For example, these units may be a crucial source of these types of information and materials: needs data, video and print training materials, computerized data bases, and other such support materials.

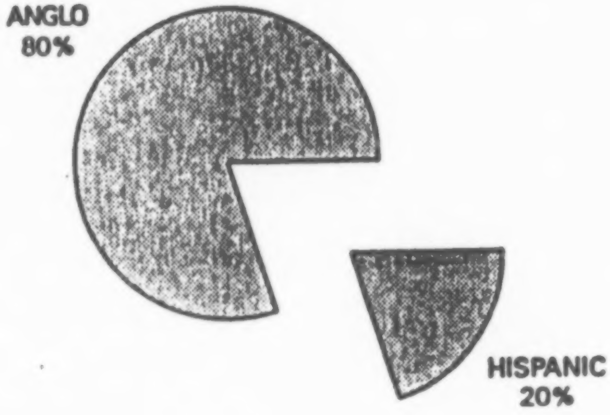
Appendix II.B.1

Sample Graphics and Timeline/Activity Charts

MA & BA GRADUATES - 1989-1990
ETHNIC DISTRIBUTION



MA GRADUATES



BA GRADUATES

FIGURE 6a

# SUSPENDED OVER PAST TWO YEARS

	Severe Maladaptive Behaviors				
	None	1-4	5-7	8-10	More
# of Districts	22	18	2	0	3

One District did not respond

Q. (a) How many students (definition A) has your school district found it necessary to exclude for some period of time during the past two school years?

FIGURE 6b

RESOURCES TO AID IN RETAINING

	More staff	Change facilities	Other
# of Districts	12	6	13

Q. (b) What would have made it possible to retain these individuals within the school setting.

Special Education
Doctoral graduate Demographics
1979-1990

# of Graduates by Year

1971 - 3
1972 - 1
1973 - 2
1974 - 1
1975 - 2
1976 - 3
1977 - 7
1978 - 2
1979 - 3
1980 - 6
1981 - 7
1982 - 3
1983 - 8
1984 - 6
1985 - 2
1986 - 6
1987 - 4
1988 - 7
1989 - 5
1990 - 2

Total 80

Ethnicity and Gender

Anglo	84%	Male	38%
Hispanic	15%	Female	62%

Occupation

Retired	5%	IHE	
LEA	21%	Faculty	30%
Consultant	8%	Non Faculty	9%
Other Private	18%	SEA	3%
		Executive Director	3%

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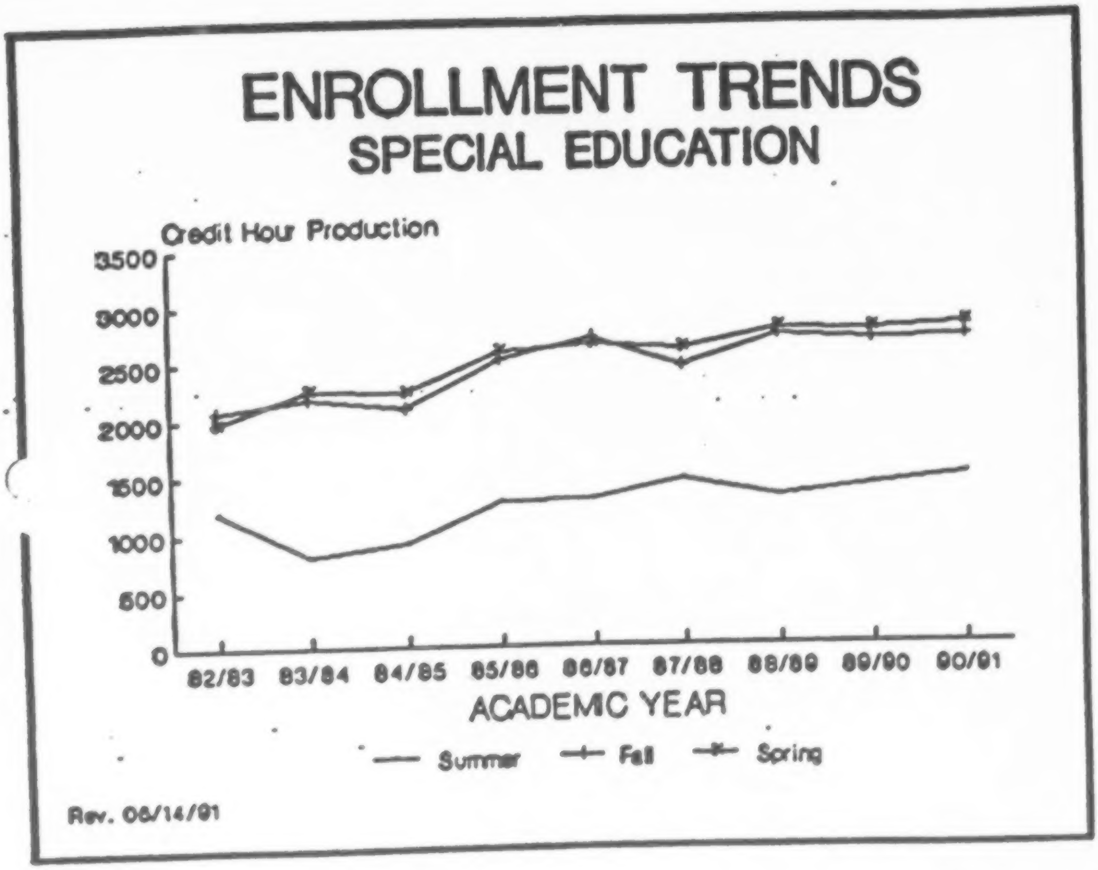
Figure 1


ENROLLMENT TRENDS
SPECIAL EDUCATION
Credit Hour Production
3500
3000
2500
2000
1500
1000
500
0
82/83
83/84
84/85
85/86
86/87
87/88
88/89
89/90
90/91
ACADEMIC YEAR
Summer
Fall
Spring
Rev. 06/14/91

Special Education Undergrad Applicant Pool

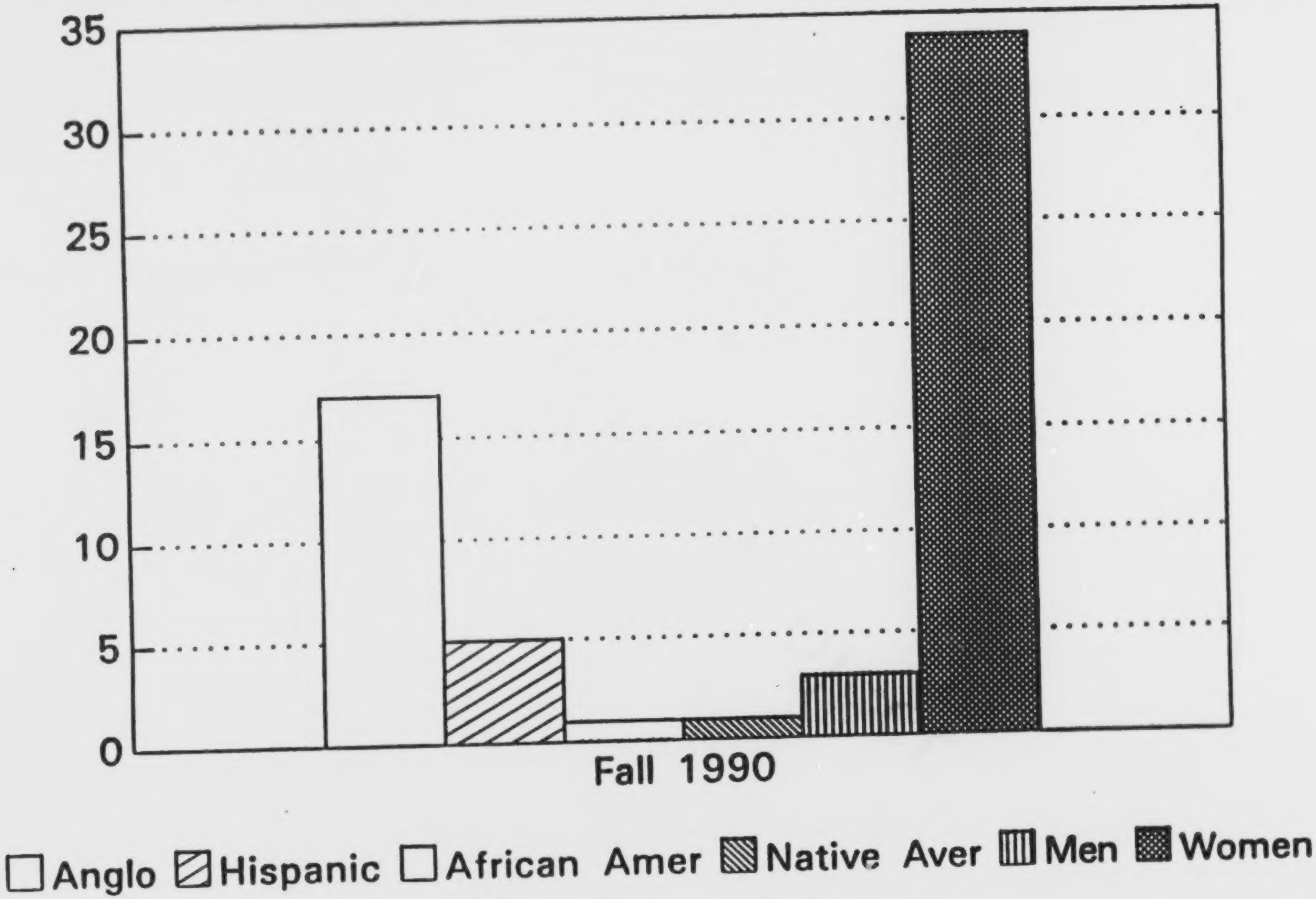


Figure 1
Project Activities/Timeline

bjective 1	Activities	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	T/A Respon	Eval Respon	Task Complet Date
	1. Development of Recruitment materials for academic year programs															
	a. Poster Development	X												PD/JD	PD/JD	June
	b. Brocuhure Development	X												PD/CV	PD/CV	June
	c. News Release-Regional and local	X												PD/CV	PD/CV	June
	d. Organizational Newsletter	X	X	X										PD/CV	PD/CV	Sept
	e. APS Newsletter			X										PD/CV	PD/CV	Aug
	f. Prepare application for training program	X												PD/JD	PD/JD	June
	g. Mail posters (General)	X												Sec	PD/JD	June
	h. Mail Brocheres (Detailed)	X												Sec	PD/CV	June
	2. Identification and Contact of Potential Trainees															
	a. Graduating Seniors, El.Ed			X				X				X		PDs	PD/CV	Ongoing
	b. Sp Ed Undergraduates			X				X				X		PDs	PD/CV	Ongoing
	c. Nontraditional Students			X				X				X		PDs	PD/CV	Ongoing
	d. Mail Admission Packets	AS REQUESTED												Sec	PD/CV	Ongoing

LEGEND
T/A Resp - Task/Activity Responsibility (Individuals Responsible)
Eval Resp - Evaluation Responsibility
Task Comp Date - Projected Task Completion Date

PD	Project Co-Director
JD	Name
CV	Name
PA	Project Assistant
Sec	Secretary
CS	Content Specialist
PT	Part Time Instructor

III

WRITING THE PROPOSAL

Components

(a) *Impact on Critical Present & Projected Need (30)*

Appendix

III.A.1 Sample Needs Assessments/Surveys

(b) *Capacity of Institution (25)*

(c) *Plan of Operation (25)*

Appendix

III.C.1 Sample Plan of Operation

(d) *Evaluation Plan (10)*

Appendix

III.D.1 Sample Evaluation Questons

(e) *Budget & Cost Effectiveness (10)*

Component (a)

IMPACT ON CRITICAL PRESENT AND PROJECTED NEED

(30 points)

(1) Significance of the Personnel Needs

- *(i) Evidence of critical shortages of personnel*
- *(ii) Evidence showing significant need for improvement in quality of personnel*

(2) Impact of Project on Targeted Need

- *(i) Projected number of graduates*
- *(ii) For ongoing programs, numbers of previous graduates*
- *(iii) For new programs, program features' tie to needs*

(a) IMPACT ON CRITICAL PRESENT AND PROJECTED NEED (30 points)

(1) Significance of the Personnel Needs

You have two suggested types of evidence to delineate in this section. If your aim is to increase numbers of trained personnel, then you need evidence of critical shortages. If your purpose is to improve the competencies of existing personnel, then you need evidence to show such competencies are lacking.

(i) Evidence of critical shortages of personnel

A crucial component of your proposal must address the needs that exist in your service area. This is necessary in order to convince the readers of your proposal that your institution, region, or state should receive the award. Many writers have found it useful to divide this section into national and local (including state) needs so that data from both levels can demonstrate the need for the project.

General needs. **At the national level**, your "General Needs" section will draw upon findings that relate closely to the area in which you are planning, such as training for ancillary staff or family interventions. You should draw from a variety of resources to get thorough descriptions of general need for your proposed efforts.

Experienced grant writers often draw upon recently developed materials for a ready source of data.

Convincing data can be found in four possible sources.

1. The Alliance 2000 Project East and West Offices Staff, who are working on developing general needs statements in major areas of concern.
2. Existing data bases in government, organizations, and agencies, such as the Department of Education's Annual Report to Congress which contains a wealth of information about students, their characteristics, reasons for leaving school, and projected needs in the future.
3. Valuable data are available through the ERIC Clearinghouse and the National Information Clearinghouse for Handicapped Youth (NICHY).
4. Current literature closely related to your topic which can be located by students and graduate assistants.

The following are the kinds of data that are most critical and appropriate.

1. Numbers of vacancies in the profession you have targeted.
2. Numbers of noncertified personnel on waivers.
3. Numbers of students or adults in the target categories so you can project present and future needs.
4. Numbers of teachers serving those groups and their "match" to their constituents.
5. Numbers of paraprofessionals or vacancies.
6. Breakdown of students/adults by demographic categories, (ethnicity, gender, age, severity level, or special needs).
7. Projected needs in the future.
8. Outcomes data from follow-up studies.
9. Any other specific traits or needs pertinent to your proposal.

Priorities in relevant organizations (such as the Council for Exeptional Children, National Association for Bilingual Education, or parent organizations) or agencies (such as the State Department of Education, Human Services, or the Commission on Higher Education) that relate to your project's purpose.

NOTE: A list of relevant agencies and organizations at the national level is available from the Alliance 2000 Project staff.

Specific needs. There are several sources of data at the state level. They would be:

1. State Department of Education Evaluation Unit (or its equivalent).
2. Developmental Disabilities Bureau or Planning Council.
3. State Association for Retarded Citizens/Developmental Disabilities.
4. Governor's Committee on Concerns of People with Disabilities.
5. Other representative agencies, e.g., Department of Labor, Department of Health and Environment, Division of Vocational Rehabilitation.
6. Organizations such as the Council for Exceptional Children, National Association for Young Children, or Council for Learning Disabilities.
7. State committee for comprehensive system of Personnel Development (CSPD).

At the local level, school districts' data management units may be helpful. Check with parent organizations and community agencies related to your project as well.

A common, but important source, of specific needs data is a statewide, or local, needs assessment. A needs assessment or survey does not need to be highly sophisticated, complicated, or lengthy. It should, however, provide information to directly support your case for a critical present or projected need. Such a survey provides one of the best means by which to ensure comprehensive and representative input.

In addition, conducting a regional or statewide survey carries a great deal of weight with readers.

Examples of needs assessment instruments are included in Appendix III.A.1

Mailing the surveys with stamped, pre-addressed return envelopes, and then following up with postcards as reminders, or phoning nonrespondents has proven successful in some instances. One parent organization serving rural citizens obtained best results by mailing the form with a note first and then calling a week later (where possible) to actually collect the data over the phone. One district decided they would do best by dividing up the forms among a team and making office, school, or home visits to personally gather the information.

(ii) Evidence showing significant need for improvement in quality of personnel

If improving competencies of personnel is your aim, you will need to compare the actual skills held by personnel in the targeted specialty or geographic area to the desired or needed skills. This comparison may be accomplished in a number of ways. Review section (i) above to get ideas about how to document both the general need (the national picture) as well as the specific need at your local or state level. Many of the agencies and organizations listed previously may have information about the lack of competencies among existing personnel.

A survey would provide the most quantitative support for the need to improve skills of personnel. A sample Competency Survey is presented in Figure III.a.1. Three responses are presented for the specific types of skills of the target group. Three response columns parallel the list. The first column (A) is to rate current skill levels (as with a Likert 0-4 scale), and the second (B) is to rate desired skill levels. Subtract (B) from (A). The final column (C) is to document the discrepancy, if any, for each skill. Distribute the survey to numerous members of the pertinent groups affected by the lack of competencies such as consumers, parents, staff, and administrators.

Figure III.a.1.

SAMPLE COMPETENCY SURVEY SEGMENT

Please rate yourself (or your employees) on each competency listed below, as follows:

Column A is for current skill level
Column B is for ideal skill level
Column C is for discrepancy between the two

Each rating scale ranges from 0 (skill is totally absent) to 4 (outstanding level of accomplishment).

CIRCLE THE LEVEL THAT BEST REPRESENTS YOUR (OR YOUR EMPLOYEES') LEVEL OF SKILL IN COLUMN A, THEN CIRCLE THE LEVEL THAT YOU (OR THEY) SHOULD HAVE IN COLUMN B.

Category & Specific Competencies	Column A Current	Column B Ideal	Column C (+-)
3. BEHAVIOR MANAGEMENT			
3a. Primarily uses positive behavior management techniques with all students.	0 1 2 3 4	0 1 2 3 4	-2
3b. Applies variety of management strategies depending on individual students' situations.	0 1 2 3 4	0 1 2 3 4	-3

(2) Impact of Project on Targeted Need

(i) Projected number of graduates

One of the ways to demonstrate the possible impact of the project on the targeted need is by projecting the number of graduates of your program who will have the necessary competencies and certification to affect the need. Based on your budgeted tuition and other support, answer the following questions.

A. How many persons can you recruit?

B. Are there enough unemployed or underemployed individuals in your service area who might be seriously interested in being trained in this field?

C. What about parents or educational assistants as a recruitment source? Is there a ready pool of potential recruits who might want to pursue your training program?

D. Did you make important contacts during your needs assessment who can help with the recruitment process?

Your projected number of graduates should be as high as you believe is achievable given present resources and those requested, so that you can show serious potential impact on the targeted need. Be sure that the number is reasonable and possible to accomplish.

(ii) For ongoing programs, numbers of previous graduates

If you have already been doing training in the targeted area, do the number of previous graduates show a trend that supports your projected numbers? Where and in what kind of positions are the graduates currently employed and how are they contributing to the targeted need?

(iii) For new programs, program features' tie to needs

Your evidence of potential impact should be delineated by the specific features of your proposed project if you are developing a totally new training program. Translating this into action means you will need to describe how closely project activities will affect the lives of the target population. How closely will project activities have an affect on the needs identified by your state's CSPD priorities, or any other pertinent organization's priorities? How are students with disabilities going to be affected?

It is appropriate to state what you believe will happen regarding the importance of the project and the benefits it will generate, but you should tie your statement to realities. Go back through your needs assessment findings, if applicable, and explain how the components of your project will influence those identified needs. **Be specific**. For example, is it possible to tie local or state administrators into providing either informal feedback or formal evaluation of your project? That might be one way to show the relationship of your project to employers' priorities and students' needs.

Your next task is to outline your plan to help your program graduates locate jobs in the targeted specialty or geographic area. Links to your Career Placement Office should be stated here, perhaps accompanied by a letter of support or a description of services which you can include in an appendix.

This is a good place to refer to your letters of support if they mention the project's possible impact, employment opportunities, or other relevant items.

A final way to document potential impact is to outline the ways your project will insure that participants will indeed gain the competencies needed to impact the targeted need. Briefly summarize your monitoring and evaluation strategies and other means by which your project will graduate well-trained individuals. Much of this can be accomplished by referring to support material which you place in the appendices, such as competency matrices, measurement procedures, and evaluation tools.

Appendix III.A.1

Sample Needs Assessments/Surveys

PLEASE COMPLETE AND RETURN IN ENCLOSED SELF-ADDRESSED ENVELOPE

[illegible] Y NAME ______________________________

STREET ADDRESS OR BOX CITY ZIP

CONTACT PERSON PHONE

POPULATION SERVED BY YOUR AGENCY

NUMBER OF PARAPROFESSIONALS EMPLOYED ________

LEGEND

lease rate the competencies according to how you see its importance for a araprofessional who works with handicapped individuals.

0	1	2	3	4	5
Not Applicable	Not Important	Slightly Important	Somewhat Important	Definitely Important	Extremely Important

Topic: Basic Special Education Principles and Approaches

Competencies							Total N	Mean $\bar{X}$
-Knowledge of terminology associated with special education & descriptions of various handicapping conditions	0	1	2	3	4	5	73	2.75
-Ability to define and apply principles of confidentiality, legal responsibility, and accountability	0	1	2	3	4	5	74	4.14
-Knowledge of appropriate approaches for intervening with effects of disabling conditions	0	1	2	3	4	5	74	4.08
-Knowledge of current legislation regarding services to individuals with special needs	0	1	2	3	4	5	73	2.71
-Knowledge of community resources providing services to people with special needs	0	1	2	3	4	5	73	3.37
-Ability to foster liason between agency and home and between agency and community	0	1	2	3	4	5	74	3.53
-Ability to identify and access professional organizations, as well as community resources of value to program and students	0	1	2	3	4	5	74	2.97
-Ability to develop specific avenues for parents to become involved in planning for their children	0	1	2	3	4	5	74	3.28

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Topic: Techniques for Social and Emotional Development of Exceptional Students

Competencies							Total N	Mean $\bar{X}$
-Demonstrate rapport with students in all settings	0	1	2	3	4	5	74	4.47
-Maintains positive expectations of students' achievements	0	1	2	3	4	5	74	4.50
-Attends to students' concerns	0	1	2	3	4	5	74	4.38
-Values the learning process	0	1	2	3	4	5	74	4.41
-Demonstrates understanding of students' frames of reference	0	1	2	3	4	5	73	4.19
-Establishes mutuality and rapport with students	0	1	2	3	4	5	72	4.33
-Links instructional process to student concerns	0	1	2	3	4	5	73	4.08
-Structures processes to facilitate students' active learning	0	1	2	3	4	5	73	3.89
-Adapts to situational demands	0	1	2	3	4	5	73	4.36
-Responds to nonverbal cues	0	1	2	3	4	5	73	4.21
-Ability to assess interpersonal and socialization needs of students and plan accordingly	0	1	2	3	4	5	73	3.90
-Ability to teach problem-solving skills appropriate to students' level of functioning	0	1	2	3	4	5	73	3.89
-Ability to recognize interactions of own feelings and styles with student episodes of inappropriate behavior	0	1	2	3	4	5	73	4.09

Topic: Therapeutic Techniques for Severe Behavior Disorders

Competencies							Total N	Mean $\bar{X}$
-Ability to distinguish between acting out behaviors and actual severe behavior disorders	0	1	2	3	4	5	73	4.10
-Ability to assist in developing behavioral management plans which are maximally appropriate for each student	0	1	2	3	4	5	73	3.78
-Ability to implement and evaluate interventions in collaboration with co-workers and families	0	1	2	3	4	5	74	3.73
-Ability to implement intervention techniques targeted for carryover into students' other environments (if applicable) through closely coordinated efforts with other service providers and/or parents	0	1	2	3	4	5	74	3.64
-Ability to describe and utilize appropriate restraint and seclusion techniques when necessary	0	1	2	3	4	5	74	3.95
-Knowledge of the behaviors and patterns typically exhibited by each category of individuals with severe behavior problems: those labelled as autistic, the learning disabled with severe behavior problems, emotionally disturbed, mentally ill, acting out	0	1	2	3	4	5	74	3.96

Basic Methods and Materials

							Total N	Mean $\bar{X}$
-Ability to describe role modeling and its place within the behavior of a special education paraprofessional	0	1	2	3	4	5	72	3.67
-Assessment of individual growth in terms of individual achieyement.	0	1	2	3	4	5	72	3.57
Ability to write behavioral objectives and assist in setting goals	0	1	2	3	4	5	73	3.16
-Ability to formally measure student capabilities and progress	0	1	2	3	4	5	73	2.99

Topic: Paraprofessional Roles and Interactions

Competencies							N	$\bar{X}$
-Ability to recognize and deal with one's own feelings regarding handicapped individuals	0	1	2	3	4	5	74	4.74
-Ability to effectively carry out instructions from field site supervisor	0	1	2	3	4	5	73	4.67
-Participation as a team member in planning of classroom activities	0	1	2	3	4	5	74	4.30
-Demonstrate awareness of parent-teacher relationships and the responsibilities and problems which are involved	0	1	2	3	4	5	74	4.24
-Recognition of the value of constructive criticism or suggestions from supervisor(s) and ability to respond appropriately	0	1	2	3	4	5	74	4.59
-Effective communication in oral and written form with staff, students, and others in course of work	0	1	2	3	4	5	74	4.34
-Demonstrate understanding of the role(s), responsibilities, and limitations of a special education paraprofessional	0	1	2	3	4	5	74	4.45
-Assumption of responsibilities in field setting as needed or indicated	0	1	2	3	4	5	74	4.38
-Ability to incorporate cultural & linguistic diversity in activities	0	1	2	3	4	5	73	4.03
-Identification of roles and functions of interdisciplinary team	0	1	2	3	4	5	74	3.80
-Ability to recognize and eliminate sex, class, race, or disability stereotyping in activities and program	0	1	2	3	4	5	74	4.34
-Assumption of role as responsible, participating member of service delivery team	0	1	2	3	4	5	74	4.49
-Ability to support adjustment and functioning of families of handicapped persons	0	1	2	3	4	5	74	3.97

Topic: Major Characteristics and Educational Needs of Exceptional Populations

Competencies							Total N	Mean $\bar{X}$
-Ability to insure physical and personal safety and well-being of each student	0	1	2	3	4	5	72	4.67
-Ability to provide safe, healthy environments for students	0	1	2	3	4	5	72	4.51
-Knowledge of factors interfacing with normal development related to disabling conditions	0	1	2	3	4	5	71	3.73
-Ability to identify and describe all major handicapping conditions	0	1	2	3	4	5	71	2.92
-Ability to assist clients in physical care tasks as needed	0	1	2	3	4	5	72	4.24
-Ability to plan an appropriate daily schedule of activities for an individual or small group of students	0	1	2	3	4	5	72	3.64

Topic: Positive Behavior Management Principles and Practices

Competencies							N	$\bar{X}$
-Knowledge of basic principles of behavior shaping and classroom management	0	1	2	3	4	5	72	3.82
-Ability to react with flexibility, creativity, and sensitivity to changing situations and needs	0	1	2	3	4	5	70	4.54
-Appropriate utilization of behavior management techniques in the classroom or institution	0	1	2	3	4	5	72	4.04
-Ability to help arrange environment to facilitate learning and/or development	0	1	2	3	4	5	72	3.92
-Ability to manage students' behavior effectively	0	1	2	3	4	5	72	4.19
-Ability to hold students accountable to their best learning interests	0	1	2	3	4	5	72	3.76
-Ability to use role-modeling approrpiately	0	1	2	3	4	5	72	4.01
-Ability to determine which behaviors are appropriate to model.	0	1	2	3	4	5	72	4.03

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Topic: Therapeutic Techniques for Severely/Profoundly and Multiply Handicapped Students

Competencies							Total N	Mean $\bar{X}$
-Knowledge of normal growth and development processes in sensory, physical/motor, self-help, intellectual, medical, and social areas	0	1	2	3	4	5	71	3.69
-Ability to critically observe and interpret behaviors and expressions of severely/profoundly involved students in an accurate manner	0	1	2	3	4	5	72	3.67
-Ability to translate observational data into significant information for inclusion in planning of each student's goals, objectives, and activities	0	1	2	3	4	5	72	3.44
-Ability to assist interdisciplinary team in planning, implementing, and evaluating specific intervention strategies promoting maximum growth by each student	0	1	2	3	4	5	72	3.50
-Ability to communicate effectively in oral and written form with staff, other local professionals, students, and their families	0	1	2	3	4	5	72	3.58
-Knowledge of the correct positioning, handling, and therapeutic feeding techniques required by each student for optimal development	0	1	2	3	4	5	72	3.93
-Ability to communicate in Spanish, Native American language(s), Sign Language, and/or symbol, picture, or printed system displayed on communication boards	0	1	2	3	4	5	72	3.54

Topic: Basic Methods and Materials for Assessment, Planning, and Intervention

Competencies							N	$\bar{X}$
-Demonstrate awareness of general training procedures associated with academic, self-help, motor, and social skills	0	1	2	3	4	5	72	3.93
-Ability to monitor individual instructional programs	0	1	2	3	4	5	72	3.67
-Ability to collect observational data and provide feedback regarding students' behavior	0	1	2	3	4	5	71	4.00
-Ability to conduct small group activity or individual activity from field site supervisor's plans	0	1	2	3	4	5	72	4.14
-Knowledge of material, equipment, activity, and environmental modifications indicated by various handicapping conditions	0	1	2	3	4	5	71	3.96
-Ability to develop and carry out lesson plans in a wide range of curriculum areas	0	1	2	3	4	5	72	3.74
-Ability to develop and use appropriate learning materials	0	1	2	3	4	5	72	3.71
-Creation of appropriate learning environments for individual students and groups	0	1	2	3	4	5	72	3.83

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Other competencies you believe are relevant: ____________________

____

____

____

What ways can your agency or organization provide support to help improve the state of the art for paraprofessional workers and their efforts?

26 Establish a career ladder that would reward paraprofessionals for upgrading their skills

28 Improve status based on a combination of education and experience

14 Pay tuition costs

55 Provide in-service education

    21 a) At UNM

    52 b) On site at the agency

43 Provide release time for in-service training

13 Pay for books

14 Pay transportation costs to UNM

37 Encourage and support monthly or quarterly meetings of paraprofessionals to promote communication, identification of needs, and establishment of a support group

35 Authorize and provide quality supervision of internships

* *

43 Please check if you would like to receive copies of other states' and agencies' career ladders for paraprofessionals.

21 Please check if you would like the paraprofessional training program staff to meet with you to describe the program, advise regarding the development of a career ladder, or aid in the establishment of paraprofessional support groups.

43 Please check if you would like the results of surveys completed by aides regarding expressed needs for training, role clarification, and reinforcement systems.

Thanks again,

Ginger Blalock
Susan Holburn

PARAPROFESSIONAL LEARNING NEEDS SURVEY

The purpose of this survey is to help your employing agency and the UNM Paraprofessional Training Statewide Network decide how best to meet your inservice training needs. We want to know first about the most important content for training. We also need to know about the best times for training. These are anonymous surveys that will be used to plan workshops for you during the 1989-90 school year. Thank you for your time.

1. Do you feel a need for additional training in order to do your job effectively? Yes___ No___

2. If "yes," what areas of training do you need of want? Please rate them from 1 (most important) to 3, (least important).

___ a. Communication with clients or students
___ b. Communication with professionals
___ c. Working with families of the disabled
___ d. Working with families of different cultures/languages
___ e. Knowledge of various handicapping conditions
___ f. Knowledge of special education philosophy and policies
___ g. Use of different assessment methods
___ h. Use of different teaching or intervention methods
___ i. Use of a range of teaching materials
___ j. Use of audio-visual equipment.
___ k. Positive behavior management principles
___ l. Management of a learning environment
___ m. Knowledge of appropriate roles and responsibilities of teachers and assistants
___ n. School/agency organization
___ o. Public Law 94-142 and Section 504 of 1973 Voc. Rehab. Act
___ p. Problem-solving techniques and activities
___ q. First aid and CPR training
___ r. Knowledge of normal child development
___ s. Knowledge of normal adolescent and adult development
___ t. Legal rights of disabled clients or students
___ u. Legal rights of paraprofessionals serving the disabled
___ v. Task analysis procedures
___ w. Skills in writing behavioral/learning objectives
___ x. Skills in planning activities and programs
___ y. Knowledge of social/emotional development
___ z. Techniques for working with severe behavior disorders
___ aa. Techniques for working with severe physical and multiple handicaps
___ bb. Sign or other language(s) Which?______________________
___ cc. Community based instruction
___ dd. Work-study or job coaching instruction
___ ee. Other____

PARA-trn/gb

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3. Would you be willing to have an instructor observe and evaluate you on the job as part of a supervised internship?
_____ Yes _____ No

4. Please rate the three (3) best ways by which you learn in classes (1=most effective):

___ a. Discussion
___ b. Films and videotapes
___ c. Role-playing
___ d. Lecture
___ e. Simulation activities
___ f. Small group activities
___ g. Projects or papers
___ h. Readings
___ i. Combinations of ___ & ___
___ j. Other ____________

5. What training format for a course or courses would best fit your schedule and other life demands? (Check all that apply)

College credit course:

___ a. Late afternoon
___ b. Evening
___ c. Morning
___ d. 1 session (3 hours) per week for 16 weeks
___ e. 2 sessions (1 1/2 hours each) per week for 16 weeks
___ f. 3 sessions (1 hour each) per week for 16 weeks
___ g. 6 Saturdays (8 hours each) for 6 weeks
___ h. 12 Saturdays (4 hours each) for 12 weeks
___ i. Daytime during summers only
___ j. Other: ____________

Continuing education (noncredit) course:

___ a. Weekend workshop (12-16 hours)
___ b. 2-4 Saturdays (6-8 hours each)
___ c. 1 night (3-4 hours) per week for 4-6 weeks
___ d. 1 day (3-4 hours) per week for 4-6 weeks
___ e. Other

6. Please rate from 1 to 3 (1=most important) the importance of the following incentives for you to pursue additional training:

___ a. Tuition reimbursement
___ b. Reimbursement for books
___ c. Transportation provided
___ d. Mileage reimbursement
___ e. On-site courses
___ f. Release time for classes
___ g. Career ladder with levels based on combined education and experience

FOR YOUR SUPERVISING TEACHERS:

1. Should your district or RCC hold a session for teachers on working with paraprofessionals? ___ Yes ___ No

2. Should this be done jointly with the assistants? ___ Yes ___ No

COMMENTS:

PLEASE RETURN THIS SURVEY TO:

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The University of New Mexico

Department of Special Education
College of Education
Albuquerque, NM 87131
(505) 277-5018

UNIVERSITY OF NEW MEXICO
DEPARTMENT OF SPECIAL EDUCATION

NEEDS SURVEY FOR TRANSITION SPECIALIST DEGREE PROGRAM

1. Do you see a need for this training? __X__ Yes ______ No
______ Yes, under certain conditions (explain):

If "yes", what topics/skill areas would need to be included?

Those listed sound fine

2. How many persons in your LEA or community agency would likely participate? 2
What roles do they currently fill? SPED Staff

. Are there people in your community who would be likely candidates to participate?
__X__ No ______ Yes
If "yes", how many? ______ What roles do they fill now?

4. What other kinds of support, in addition to financial (through tuition and small stipends), would participants from your area need?

5. Would your agency be willing to collaborate to support such training?
______ Yes ______ No
__X__ Yes, under certain conditions (explain):

What form(s) of support would your agency provide? Leave

6. What kinds of jobs would project graduates do in your district or agency?

?LEASE COMPLETE SECTION BELOW & RETURN BY FEB. 18 TO:
Ginger Blalock, Dept. of Special Education,
University of New Mexico, Albuquerque, N.M. 87131 1-277-5119

DISTRICT OR AGENCY:
Contact Person: Phone:
Address: Box 10 City/Zip:

Services to Students with Severe/Profound Handicaps

A. OBJECTIVES OR OUTCOMES

1. Do you have specific outcomes or goals written for the various exceptionalities, including students with severe/profound handicaps?

Yes ____
No ____

If Yes, would it be possible for us to write you to obtain a copy? Yes ____ No____

How did you determine these goals?

If no, do you feel this would serve any purpose in establishing goals for these students?
Yes ____ No ____ Not Certain ____

2. My school district ____ does ____ does not follow-up special education students who exit public schools.

3. My school district ____ does ____ does not have the resources to follow-up special education students who exit the public schools.

. Does your school have a specific referral system of students from school to community or to other agencies?

Yes ____
No ____

Following are instruments for screening and assessment of 3 and 4 years olds. Please indicate which you are currently using.

SCREENING INSTRUMENTS (FOR 3 AND 4 YEAR OLDS)

____ Battelle Developmental Inventory (Screening Test)
____ Denver Developmental Screening Test (DDST)
____ Developmental Activities Screening Inventory (DASI)
____ Expressive One-word Picture Vocabulary Test (EOWPVT)
____ Fluharty Preschool Speech and Language Screening
____ Miller Assessment for Preschoolers
____ Other____________________________

B. CHILD FIND

1. In your Child Find activities did you publicize your activities through
____ News releases in a local paper
____ Local radio public service announcements
____ Letters to all citizens in your district
____ School news letters
____ Other ______________________________?
Would you share your information if requested?
Yes ____ No ____

2. Given that the SDE establishes procedures for Child Find, what activities do you undertake to facilitate the locating of children from birth?
____ Screening Clinics at local Health Fairs
____ Special events with posters on prevention
____ Coordination with local agencies and Pediatricians

3. Do you feel these activities are useful in locating the majority of children from birth?
Yes ____ No ____

4. Do you presently make referrals of children found under school age, or those of school age not attending schools, to other agencies?
Yes ____ No ____

5. Do you maintain a record of the children?
Yes ____
No ____
What is the current number of children under 5?
What is the current number of school age, but not in school.

6. Is a specific individual assigned to conduct Child Find activities?
Yes ____ If yes, who?
No ____

7. Are you still actively conducting Child Find activities? Yes ____ No ____

If yes, how are you presently screening these children? (Who sees them? What is the general procedure)?

Joint Senate Memorial 3 requests information on services presently provided to students with severe/profound handicaps d those services which districts feel are critical. Your ponse to the following question will be useful in funding considerations.

1. Please indicate in column A which of the following services are presently provided by your school district to severe/profoundly handicapped students, either by your own employees or through contracted services.

A		B
____	Adapted Physical Education	____
____	Counseling Services	____
____	Medical Services	____
____	Nursing Services	____
____	Occupational Therapy Services	____
____	Physical Therapy Services	____
____	Psychiatric/Psychological Services	____
____	Social Services	____
____	Speech and Language Services	____
____	Vocational Training Services	____
____	Other____________________	____

2. Regardless of the services you presently have, in column B, please indicate in rank order (1=Most important) the five services you feel would provide the most critical support to such a program.

Below is a list of personnel frequently involved in programs of service to students with severe/profound handicaps.

Personnel	Column A	Column B Full Time Equivalent	Column C	Column D	Column E
Nurse					
Diagnostician					
Teacher					
Paraprofessional					
Occupational Therapist					
Physical Therapist					
Adapted Physical Education					
Social Worker					
Counselor					
Vocational Evaluation/Specialist					
Psychologist					
Psychiatrist					
Physician					
Other					

A. In column A, please indicate which personnel are employed or contracted by your district to serve students with Severe/Profound handicaps.

B. In column B, please indicate the FTE for each person. presently employed or contracted by your district. In column D, please indicate if available daily, X times weekly, etc.

D. Without regard for your present staffing FTE, in column C please indicate what you feel would be the minimum FTE for each type of person for the number of students in the Severe/Profound category served by your district.

E. Without regard for your present staffing FTE, in column C please indicate what you feel would be the ideal FTE for each type of person for the number of students in the Severe/Profound category served by your district.

(over)

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HEALTH AND MEDICAL ISSUES

Following are several medical/health related services which may be used in evaluation and placement of students with severe and profound handicaps, as defined by either definition attached to this survey.

Please respond to each question by placing an "X" in the appropriate box.

	A				B			C			D		
Specialist	Always	Often	Seldom	Never	Very	Moderate	Little	Great	Moderate	Limited	Great	Moderate	Limited
Audiologist													
Dentist/Peridontist													
Neurologist													
Nurse													
thalmologist													
opedist													
Pediatrician													
Psychiatrist/ Psychologist													
Other______________													

A. Please note the frequency with which each specialist is utilized as a part of evaluation for placement for students with severe and profound handicapped.

B. Please note the level of difficulty in obtaining these services.

C. Please indicate the relative value of each professional in your evaluation and placement of students with severe/profound handicaps of preschool age (3-5).

D. Please indicate the relative value of each professional in your evaluation and placement of students with severe/profound handicaps ages (6-21).

SURVEY IN RESPONSE TO SENATE JOINT MEMORIAL 3
Services to students with Severe/Profound Handicaps

Please respond by circling the frequency with which assessment instruments are used: O=Often, S=Seldom, N=Never

INTELLIGENCE/COGNITIVE/APTITUDE

O S N Bayley Scales of Infant Development
O S N Cattell Infant Scale of Intelligence
O S N Hiskey-Nebraska Test of Learning Aptitude
O S N Kaufman (Mental Processing Subtests)
O S N Leiter International Performance Scale
O S N McCarthy Scales (MSCA)
O S N Stanford-Binet (4th Edition)
O S N Stanford-Binet (Perkins Adaptation)
O S N Wechsler Intelligence Scale
O S N Other_______________________

SOCIAL/ADAPTIVE/DEVELOPMENTAL MEASURE

O S N AAMD Adaptive Behavior School(School Edition R)
O S N Adaptive Behavior Inventory for Children
O S N Balthazar Scales of Adaptive Behavior(I & II)
O S N Burk's Behavior Rating Scale (Preschool)
O S N Cain-Levine Social Competency Scale
O S N California Preschool Social Competency Scale
O S N Callier-Azusa Scale
O S N Denver Developmental Screening Test
O S N Developmental Profile II (1980 Revision)
O S N Fairview Self-Help Scale
O S N Performance Profile (YEMR or TMR)
O S N Scales of Independent Behavior
O S N Woodcock Johnson Psycho-Educational Battery IV
O S N Vineland Adaptive Behavior Scale (Revised)
O S N Other_______________________

VOCATIONAL/INDEPENDENT LIVING SKILLS

O S N Prevocational Assessment and Curriculum Guide (Mithaug)
O S N Home Leisure Activities Survey
O S N Vocational Informational and Evaluation Work Samples(VIEWS)
O S N TOWER (Testing Orientation and Work Evaluation
O S N WREST (Wide Range Employment Sample Test)
O S N Camelot Behavioral Checklist
O S N Minnesota Developmental Programming System
O S N McCarron-Dial Work Evaluation Sample
O S N SAIL
O S N VALPAR
O S N Other_______________________

COMMUNICATION

O S N Dworkin-Culatta Oral Mechanism Exam
O S N Preschool Language Assessment I
O S N Preschool Language Scale - R
O S N Sequenced Inventory of Communication Development
O S N Test for Auditory Comprehension of Language
O S N Other_______________________

MOTOR

O S N Peabody Developmental Motor Scale
O S N Southern California Motor Accuracy Test
O S N Southern California Sensory Integration Test
O S N Other _______________________

SELF-HELP ASSESSMENT

O S N AAMD Adaptive Behavior Scale (School Edition R)
O S N Battelle Developmental Inventory
O S N California Preschool Competency Scale
O S N Developmental Profile II. (Alpern-Boll)
O S N Scales of Independent Behavior
O S N Vineland Adaptive Behavior Scale (Revised)
O S N Other_______________________

PROCEDURES:

Who/how decides if further assessment is required?

Who/how are decisions made about medical/health related assessments?

Who/how are decisions made about further in-house assessments?

How would you rate your evaluation procedures?
____Excellent ____Adequate ____Needs Improvement

(over)

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Component (b)

Capacity of Institution

(25 points)

(1) *Qualifications and Accomplishments of the Project Director and Other Key Personnel*

(2) *Time Commitment of Each Person*

(3) *Nondiscriminatory Employment Practices*

(4) *Adequacy of Resources, Facilities, Supplies, and Equipment*

(5) *Quality of Practicum Training Settings*

(6) *Capacity to Recruit Well-Qualified Applicants*

(7) *Experience and Capacity of Applicant to Assist Schools and Agencies in Training*

(8) *Cooperation with the State Education Agency, Other IHEs, and Other Public and Private Agencies*

(b) CAPACITY OF THE INSTITUTION (25 points)

This section requires the author to prove that the agency or institution is capable of carrying out the project in its entirety. Documentation of who is involved, what they will do, resources, training sites, and collaborative efforts in place and those planned must be included.

(1) Qualifications and Accomplishments of the Project Director and Other Key Personnel

This section should address the formal training of key personnel. The documentation should include related publications and professional contributions that are pertinent to the project. It works best to have a paragraph for each key person, starting with the Project Director (PD). Start each paragraph with the person's name and what their role will be (e.g., "Dr. Adam will serve as the Materials Specialist for the proposed project"). The remainder of the items for each person might include:

1. Amount of time projected for project activities, both grant-supported and contributed by your institution.

2. College degrees, or specific emphases or coursework related to the target need.
3. Professional development experiences, such as workshops, focused conferences, certification training related to proposed training.
4. Work or volunteer experiences that resulted in particular expertise of importance to the project.
5. Research studies, case studies, or other inquiry endeavors related to the project.
6. Reference to selected works by the person that are related to the project.
7. Participation in key task forces, advisory boards, or other efforts that are major contributions to the profession or area.
8. Personnel's experience in training the targeted group or specialty.

Finally, you should describe each person's task and responsibilities in the project. Thus, the relationship between the person's expertise and assigned duties will be clear.

If some of your project personnel are not yet identified, such as project assistants or research coordinators, you can describe the pool from whom these staff will be drawn. List the minimum qualifications they will need and their responsibilities. You may want to refer to several vitae in an appendix (such as doctoral or masters students or community professionals) who represent willing or possible recruits for your staff positions.

(2) Time Commitment of Each Person

How much time will each key person give to the project? A personnel loading chart is often the best way to visually depict each individual's commitment because it allows readers to understand the overall workload quickly. Be accurate in your FTE (full-time equivalents) allotments.

Be sure to plan adequate time commitment on the part of all key personnel, especially the Project Director. A frequent criticism by readers is that the Director is inadequately committed to the project.

Develop your chart in columns, labeled "Project Staff Role" and "Percent (or Amount) of Time on Project". In the first column, list the role and the person's name. In the last column, place a percentage of total work time or the amount in hours per week. You may want to add a middle column that lists major responsibilities. An example of a personnel loading chart is provided in Table III.B.1 .

TABLE III.B.1

REVISED PERSONNEL LOADING CHART

PROJECT POSTITION	FTE	IN-KIND FTE	SUMMER DAYS	TOTAL
Project Director	.20	.10	6	.30
Project Assistant	.50		30	.50
Part-Time Instructor (unknown; several possible condidates)			15	3 wks
Clerical Assistant	.50		50	.50
Training Consultants	1.50 x 48 days			72 days

A general guideline is that you are better off with charts, figures, and tables instead of lengthy narrative because such visual representations tend to be more quickly understood. And readers are always rushed!

(3) Nondiscriminatory Employment Practices

Your proposal must reflect how you, as a part of your institution's nondiscriminatory employment practices, will ensure that project personnel are hired without regard to ethnicity/race, national origin, gender, age, or disability. Delineate your agency's statement of policy in this regard and describe how this policy is disseminated to the general public and potential employees. In other words, is your institution's policy stated on all publicly distributed materials and advertisements or limited to certain publications?

In addition, even though you will describe recruitment practices for **participants** in the Plan of Operation, it is important to address your recruitment efforts with all potential **staff** pools in this section.

Recruiting from groups who resemble the targeted participants is best in most cases; for example, how closely should your staff match your project participants in terms of culture, language, or other important attributes?

Who are the groups you will contact and how?

The more traditionally underrepresented groups you can contact, the better your proposal will be viewed.

What will be your screening, interviewing, and hiring guidelines? List every possible means by which to insure that your employment of project personnel will not discriminate against any group or individual. It will be important to document how your employment practices comply with the Americans with Disabilities Act.

(4) Adequacy of Resources, Facilities, Supplies, and Equipment

This section requires specific facts about the physical support that your university, and any participating agencies, plan to commit to the project. Describe the types of facilities (e.g., offices, classrooms, computer labs) and equipment (e.g., microcomputers, file cabinets, audiovisual) that will be provided and where they are located. Outline which project staff will use which equipment and facilities. It is important to specifically define how these facilities and equipment will support project objectives and activities.

A description of the resource materials to which project staff will have access should be included. Are there print, software, or audiovisual collections available and where are they? Include a description of available telecommunications such as electronic mail systems for information gathering and dissemination and distance education support.

All pertinent library collections should be described. Be sure to include the expertise and data found in other departments at your campus or at other locations, such as the regular education, bilingual education, counseling, family studies, and educational administration units. For example, these units may be a crucial source of these types of information and materials: needs data, video and print training materials, computerized data bases, and other such support materials.

Are there special units on your campus that will provide specific support to the project, such as extension credit arrangements, public announcements, reference searches, layout, and printing? What about the Law Clinic if your university has a law school, or the Family Practices Clinic if you have a medical school?

Look beyond your own institution, particularly if your project will collaborate with other agencies.

Are there facilities, equipment, supplies, materials, and people resources who will support the project? Who are they and where are they located? How will they be used? Include any task forces, advisory committees, and professional organizations which will be involved even indirectly and describe how they will support project dissemination, recruiting of personnel and participants, and actual training efforts.

(5) Quality of Practicum Training Settings

This section requires evidence that your pool of practicum sites:

1. *are readily accessible;*
2. *use up-to-date services and exemplary teaching practices;*
3. *provide adequate supervision to trainees;*
4. *offer opportunities for trainees to teach; and*
5. *foster interaction between students with disabilities and their nondisabled peers.*

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See what can be identified by your original planning committee, or ask colleagues about sources if you do not have a readily available group of practicum settings. You, or a collaborator, may need to spend some time securing potential sites, because this proposal component is a very important one.

One format that has worked well for developing information for this section is to describe each practicum site, one by one, addressing each of the features listed above. Highlight the name and address of the practicum site that you plan to use, perhaps including the phone number and the current contact person. Then address each of the features by describing the population served, the types of programs and services, level of integration, and the degree to which the collaborators will train your students. Focus on the special strengths offered by the sites so that you can justify their selection.

(6) Capacity to Recruit Well-Qualified Applicants

If you have already described your recruitment practices in the Plan of Operation, you can simply refer the reader to that section.

However, it never hurts to provide additional concise statements about the connections you, your department, or your college have that will aid the recruitment effort.

Who are the groups or individuals you will recruit and how will you do it? What leads you to believe that your institution or program will attract well-qualified applicants?

(7) Experience and Capacity of Applicant to Assist Schools and Agencies in Training

This section asks you to describe your ongoing relationships in working with area schools and/or agencies in training efforts with their personnel. What qualifies you to help them? For instance, have you participated in any professional development activities or studies to prepare you better to work with their personnel? In particular, how have you collaborated before in endeavors related to personnel preparation such as needs assessments, task forces to prioritize needs, creating conferences or workshops? List specific titles or individuals with whom you share working relationships and describe what you will do together to support project objectives and future related efforts. Refer to the letters of support from those school, community agency, or other IHE contacts as further evidence of your ongoing interactions with those units.

(8) Cooperation with the State Education Agency, Other IHEs, and Other Public and Private Agencies

It is important to add information here that documents your agency's and your individual collaborations with the following groups below:

1. State Department of Education.
2. State-designated lead agency under Part H of IDEA if appropriate.
3. Other institutions of higher education (IHEs) such as community colleges and universities.
4. Other public or private agencies linked to your targeted need.

In particular, how have you worked jointly in the past, or how are you now working together, to identify personnel needs, training needs, and other needs in your region? Be sure to include parent groups (e.g., Learning Disabilities Association, Association for Retarded Citizens) and consumer organizations (eg., People First, learning disability adult groups) as appropriate. List exactly the role that you or your agency fills when cooperating with any of the other entities. How often do you work together and what form do those efforts take? How will grant support lead to greater collaboration? How will these collaborative efforts contribute to the long-term impact of your project after external funding is gone?

Component (c)

Plan of Operation

(25 points)

(1) *High Quality in the Design of the Project*

(2) *The Extent to Which the Plan of Management Ensures Effective, Proper, and Efficient Administration of the Project*

(3) *How Well the Objectives of the Project Relate to the Purpose of the Program*

(4) *The Way the Applicant Plans to Use its Resources and Personnel to Achieve Each Objective*

(5) *The Extent to Which the Application Includes a Delineation of Competencies That Program Graduates Will Acquire and How the Competencies Will be Evaluated*

(6) *The Extent to Which Substantive Content and Organization of the Program:*

  (i) *Are appropriate for the students' attainment of professional knowledge and competencies deemed necessary for the provision of quality educational and early intervention services for infants, toddlers, children, and youth with disabilities, and*

  (ii) *Demonstrate an awareness of methods, procedures, techniques, technology, and instructional media or materials that are relevant to the preparation of personnel who serve infants, toddlers, children, and youth with disabilities, and;*

(7) *The Extent to Which Program Philosophy, Objectives, and Activities Implement Current Research and Demonstration Results in Meeting the Educational or Early Intervention Needs of Infants, Toddlers, Children, and Youth With Disabilities*

(c) PLAN OF OPERATION (25 points)

This section of the proposal requires that you provide a plan which clearly indicates how you will:

1. Meet the critical shortages of personnel or improve the quality of personnel as you have identified them in section *(a) Impact on critical present and projected needs.*

2. Use the personnel, agencies and organizations, and other resources required to address the need which you outlined in section *(b) Capacity of the institution.*

When reviewing this section of the proposal, the reviewers will be looking for:

(1) High Quality in the Design of the Project

(2) The Extent to Which the Plan of Management Ensures Effective, Proper, and Efficient Administration of the Project

The following discussions of items (3) through (7) offer the documentation for the panel members who review your proposal. They will make a judgment about the quality of the overall design and the quality of your administrative plan. An abbreviated sample of a Plan of Operation section is found in Appendix III.C.1.

3. *How Well the Objectives of the Project Relate to the Purpose of the Program*

Project objectives should be clearly derived from the critical present or projected need statement or where you identified an overall purpose statement. This tells your reader in a simple statement about what you plan to do to meet the need. It is possible that you may have one objective or several objectives.

> Number each one of your objectives. This assists your readers and makes it easier for you to refer to the objectives in other areas of the proposal.

The complete set of objectives should be an outline of how the overall project purpose will be achieved. Samples of Purpose Statements follow.

PURPOSE STATEMENTS

The primary purpose of this project is to: (1) develop and implement an interdisciplinary training program for individuals who wish to prepare themselves to work with preschool handicapped children (ages 3 to 5); (2) develop a training sequence sensitive to the needs of preschool children with handicaps, who may have language, cultural religious, and social values which differ markedly from professionals or paraprofessionals; and (3) increase the number of teachers who are trained to serve preschool handicapped children, in both rural and urban settings. These funds are sought under Part D., Sec. 631, which allosw applicants to seek funds to assist in training personnel for careers in special education including special education teaching.

The primary purpose of this project is to develop and implement an undergraduate training sequence which will:

a. present integrated coursework and fieldwork experiences that will prepare teachers for entry into special education classrooms.

b. be sensitive to the special needs of handicapped children and youth in New Mexico, who may also represent an ethnic minority, and come from a home where the language is not that of the dominant culture

c. add 25-35 qualified special education teachers per year to the workforce.

d. increase the number of qualified applicants specifically interested in teaching special education in rural New Mexico.

PURPOSE STATEMENTS (cont.)

The purpose of the project is to develop a graduate level teacher training program for persons interested in teacing:

a. Children and youth who are severely mentally retarded and mentally ill (by psychiatric definition).

b. Children and youth who are severely mentally retarded and who exhibit excessive or aggressive behaviors, but have no psychiatric diagnosis.

Five objectives have been identified in order to carry out the sated purpose. They are stated here in brief form:

1. To implement initial public information activities.
2. To recruit, fund, and develop programs for 4 full-time and 5 part-time trainees during the academic year, and for 9 trainees per year for the summer institute.
3. To develop an appropriate training sequence.
4. To develop a specialized summer institute to support the basic course offerings.
5. To develop and integrate competency statements into courses and fieldwork, and field test competencies.

The primary purpose of this project is to develop trained bilingual/bicultural teachers or trained monolingual/monocultural teachers, to work with young culturally and linguistically different exceptional (CLDE) children and young Limited English Proficient (LEP) children. Specific program objectives are stated in the Plan of Operation section.

Throughout this proposal, CLDE and LEP will be used to refer to children who come from homes in which a language other than English is spoken and whose cultural experience is different than the mainstream. These children may speak English or may have limited English proficiency.

(4) The Way the Applicant Plans to Use its Resources and Personnel to Achieve Each Objective

The next step is a description of the process by which the requested financial support (personnel, materials, and other resources) will be distributed to meet the various objectives. This can be done efficiently by developing a chart which delineates the project objectives and notes timelines, activities, and how you will allocate resources.

Such a visual is useful for at least four reasons. First, it is helpful in guiding overall proposal development, including the budget allocations process. The chart serves as a management tool for identifying the financial resources required to support the specified project objectives and activities.

Second, this chart provides support for how you chose to distribute the requested funds. It should be referenced throughout your narrative, as appropriate. The budget figures, the budget justification narrative, and the Project Objectives\Timelines\Activities\Resource Allocations Chart should all be in agreement. (Some samples are found in Appendix II.B.1.)

Third, a chart also serves as a highly effective visual reference for supporting project narrative in the Plan of Operation Section. The project narrative for this section can be more concise, because so much specificity can be provided in this one chart. In fact, this one chart may be referred to as supporting information in several sections of the proposal.

Finally, the chart's inclusion makes it easier to write a strong evaluation section, because the tasks to be evaluated and the allocation of resources are clearly identified. It is difficult to develop a adequate evaluation component if it is impossible to determine what should be evaluated. Table III.C.1 includes an example of a highly developed chart.

Table II. 1

Project Activities/Timeline/Resource Allocations

ACTIVITIES	BY WHOM	RESOURCES	OUTCOMES	TASK TIMELINE	
				BEGIN	COMPLETE
1. DEVELOP AND IMPLEMENT APPLICATION PROCEDURES.		Clerical, reproduction, faculty	Disseminate information about program.		
1.1 Develop full descriptions of new program.	IBM			8/91	10/91
1.2 Integrate descriptions into the existing literature on the Ph.D. program, in brochure format.	IBM, Sec			8/91	12/91
1.3 Submit draft brochure to faculty for approval.	DOS, IBM			10/91	11/91
1.4 Prepare final brochure & distribute to faculty, UNM college offices, 782 special education IHE programs and all UNM special education doctoral alumni.	IBM DOS, Sec			10/91	12/91
2.0 RECRUIT APPLICANTS AND SELECT STUDENTS.		Faculty, clerical, reproduction, communication, travel	Selection of most highly qualified students including members of traditionally underrepresented groups.		
2.1 Disseminate materials describing program.	IBM, JDL, COE,			12/91	4/92
2.2 Solicit applications.	IBM, JDL, Fac			12/91	4/92
2.3 Implement minority recruitment procedures:				11/91	4/92
2.3.1 Contact minority faculty in other IHEs for nominations, & UNM Office of Minority Affairs.	DOS, RL, Fac, IBM, JDL,			11/91	3/92
2.3.2 Send literature to each nominee.	Sec			12/91	3/92
2.3.3 Follow-up phone call to each nominee.	IBM, JDL, Fac			1/92	3/92
2.3.4 Solicit applications.	DOS,RL,JDL,IBM			2/92	3/92
2.3.5 Assign liaison faculty to help with application.	DOS, IBM			2/92	3/92
2.4 Implement disabled persons recruitment procedures:				11/91	4/92
2.4.1 Contact faculty in other IHES for nominations.	IBM, JDL, Fac			11/91	3/92
2.4.2 Send literature to each qualified applicants.	Sec			12/91	3/92
2.4.3 Follow-up phone call to each nominee.	IBM, JDL, Fac			2/92	3/92
2.4.4 Solicit applications.	IBM			1/92	3/92
2.4.5 Notify Disabled Students Office of student's needs & assign liaison person from their office.	DOS,IBM			2/92	3/92
2.5 Implement recruitment of all other underrepresented groups:				11/91	4/92
2.5.1 Contact faculty in other IHES for nominations.	IBM, Fac			11/91	3/92
2.5.2 Send literature to each qualified applicants.	Sec			12/91	3/92
2.5.3 Follow-up phone call to each nominee.	IBM, Fac			2/92	3/92
2.5.4 Solicit applications.	IBM			1/92	3/92
2.5.5 Assign liaison faculty to help with application.	DOS,IBM			2/92	3/92
2.6 Select and notify most promising nominee.	IBM, JDL, DOS, OGS, Fac			3/92	4/92

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ACTIVITIES	BY WHOM	RESOURCES	OUTCOMES	BEGIN	COMPLETE
3.0 DEVELOP AND IMPLEMENT UNIVERSITY PREPARATION PROGRAM.	IBM, JDL, Fac	All Instructional fac faculty	Committee on studies to ensure students meet each competency in new doctoral program.	7/91	7/91
4.0 IMPLEMENT INSTRUCTIONAL RESEARCH TRAINING COMPONENT.		Faculty, Consultants, Equip, Student Stipends, Tuition, Student Travel, Communication, Reproduction, Supplies	Committee on studies to ensure students meet each competency in new doctoral program.	7/91	7/91
4.1 Develop total model.	IBM	All Instructional Personnel	Effective distance delivery seminar model	Ongoing	
4.2 Schedule and plan seminars.	IBM, JDL, Fac, Sec			7/91	8/91
4.3 Arrange for delivery of distance delivery equipment to national faculty				7/91	8/91
4.4 Develop research plan for each student.	IBM, JDL, Fac Com on Studies			10/91	12/91
4.5 Conduct all seminars.	IBM JDL, Nat Fac, UAM Fac			8/91	5/92
4.6 Conduct activities in student plan.	Fac Sponsors Students			8/91	5/92
4.7 Conduct each supervised internships experience.	IBM, JDL, Fac Students			Year 2 4/92	Year 2 4/92
4.8 Revise program annually.	IBM, JDL, Com on Studies,				
5.0 DEVELOP/EVALUATE DISTANCE DELIVERY TRAINING SEMINARS.	IBM, JDL, Fac Students	All Instructional Personnel	Procedures established for evaluating student progress and quality of work.	8/91	10/91

ADMINISTRATIVE TASKS

6.0 ADMINISTER THE PROGRAM		Project Director Personnel, Clerical Supplies	Smooth operation of a new doctoral program with unique components. Mechanisms in place for student and program evaluation. Preparation of 33 [illegible]		
6.1 Develop workscope and assign responsibilities.	IBM			7/91	8/91
6.2 Set up monitoring activities and regular meetings.	IBM			8/91	8/91
6.3 Implement data collection procedures.	IBM, Sec			8/91	9/91

ACTIVITIES	BY WHOM	RESOURCES	OUTCOMES	BEGIN	COMPLETE
6.4 Monitor grant activities & data collection procedures.	IDM	Project Director Personnel, Clerical Supplies	Smooth operation of a new doctoral program with unique components. Mechanisms in place for student and program evaluation. Preparation of 33 new instructional researchers.	5/9	6/92
6.5 Prepare reports.	IDM, Sec			7/91	6/92
6.6 Monitor budget expenditures.	IDM, Sec, COE				
7.0 PLACE GRADUATES					
7.1 Assist students prepare dossiers	IDM, JDL, Fac	Communication, Student Travel, Reproduction, Travel.	Place program graduates at IHEs.	Year 3	Year 3
7.2 Seek and disseminate job announcements	IDM, Fac.			7/91	7/91
8.0 EVALUATE PROGRAM AND DISSEMINATE FINDINGS.		Faculty, Consultants, travel, communication	Timely information about student & program quality; on-going feedback so necessary revisions can be made; assess effectiveness of distance delivery for doctoral instruction, constantly improving program. Dissemination of information to the professional community.		
8.1 Conduct formative and summative evaluations.	IDM, JDL, Fac			8/91	5/92
8.2 Prepare and disseminate findings.	IDM			8/91	5/92
8.3 Evaluate Distance Delivery	IDM, NAT Fac			8/91	6/92

(5) *The Extent to Which the Application Includes a Delineation of Competencies That Program Graduates Will Acquire and How the Competencies Will be Evaluated.*

This portion of the application requires that the applicant describe:

1. Competencies which may already exist and how these competencies will be used or adapted for proposed training, and
2. Procedures by which competency acquisition will be evaluated.

Competency identification. This section should focus on a brief review of competencies which have been identified to support the specific training program to be developed. For example, if you are writing a proposal to train teachers of young culturally and linguistically diverse children with special needs, you would want to reference competency statements developed specifically for that population of learners. Many divisions of the Council for Exceptional Children (CEC) have developed competency statements which define the expectations for teachers of students with specific exceptionalities. You should be aware of competency statements which may be available for your target group.

Procedures for evaluation of competency acquisition. The information provided here must specify exactly how you will assess competency acquisition. Following is a paragraph taken from a successful application which provides an example of such a description.

> Each of the competencies will be addressed at least twice in the training sequence. Trainees may demonstrate mastery of competencies during coursework and during field experience work. Evaluation and measurement of the competencies is provided through performance activities. During the field work (practicum or student teaching), the students will be expected to demonstrate the application of concepts, skills, and techniques that were presented through university classes or independent study. Part of the evaluation will include trainee self-evaluation in the practicum settings. Individual trainees' attainment of competencies will be assessed by an end of semester review process. Each trainee and advisor will review and complete a document designed to assess competency mastery

Table III.C.2 includes samples of competency statements in a matrix format.

Table III.C.2

Competency Mastery *

NAME ______________ DATE ______ BLACK ______ RED ______ BLUE ______ GREEN

GENERAL KNOWLEDGE		NOT PRESENT	ACQUISITION	MASTERY
GK 1				
GK 2				
GK 3				
GK 4				
GK 5				
GK 6				
GK 7				
GK (8)				
GK (9)				
GK (10)				
CURRICULUM				
C1	a.			
	b.			
	c.			
	d.			
C2	a.			
	b.			
	c.			
	d.			
	e.			
	f.			
	g.			
	h.			
	i.			
	j.			
	k.			

* Used in conjunction with the competency matrix

* Competency Statements & Ma

	D SP ED 501 Psych ED	D SP ED 563 Assmt P & P	D SP ED 503 M & M	D SP ED 504 Proct	SP ED 520 M & M	SP ED 552 Tchg S/P	SP ED 519 ABA	SP ED 508 Prnt Coun	C D 531 C.P. MH	SP ED 593 Adv B MgmtS	SP ED 593 Med Asp	SP ED 593 Summer Inst#1	SP ED 593 Summer Inst#2	SP ED 580 Simple Tech	SP ED 582 Adv Ast D	SP ED 585 Asst Tech	SP ED 505 Sem D D	SP ED 505 Proj Th Pl	SP ED 595 Adv F P	SP ED 593 Int Sh Note
General Knowledge																				
1. Normative child growth and development		A course in child development is a prerequisite for entry to COE teacher training. Taken outside the department																		
2. Pre-academic learning processes		X	X	X		X													X	
3. Educational history of handicapped	X				X															
4. Right-to-education laws	X				X															
5. Normalization principles	X				X												X X			
6. New Concepts	X				X															•
7. Community resources	X					X		X												

*- Please see the 3 competency lists provided for more detail.
D- Indicates a deficiency course.
[]- Indicates competencies developed by Gast and Wolery.
()- Indicates competencies developed by initial planning group. Competencies without brackets or parenthesis are from the review by Whitten & Westling.
B- Blackhurst competencies
Note- This will be designed for each trainees specific needs.

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* Competency Statements & Ma x page 2

	D SP ED 501 Psych ED	D SP ED 563 Assmt P & P	D SP ED 503 M & M	D SP ED 504 Pract	SP ED 520 M & M	SP ED 552 Tchg S/P	SP ED 519 ABA	SP ED 508 Prnt Coun	C D 531 C.P. MH	SP ED 593 Adv B MgmtS	SP ED 593 Med Asp	SP ED 593 Summer Inst#1	SP ED 593 Summer Inst#2	SP ED 580 Simple Tech	SP ED 582 Adv Ast D	SP ED 595 Asst Tech	SP ED 595 Sem D D	SP ED 595 Proj Th Pl	SP ED 595 Adv F P	SP ED 593 Int Sh
General Knowledge																				
(8). Identify Behavioral Characteristics of children identified as seriously emotionally disturbed		x		x						x							x			
(9). Demonstrate knowledge of research in mental retardation and mental illness				x													x	x		*
(10). Demonstrate knowledge of models and strategies for integration				x													x	x		

*- Please see the 3 competency lists provided for more detail.

D- Indicates a deficiency course.

[]- Indicates competencies developed by Gast and Wolery.

()- Indicates competencies developed by initial planning group. Competencies without brackets or parenthesis are from the review by Whitten & Westling.

B- Blackhurst competencies

Note- This will be designed for each trainees specific needs.

* Competency Statements & Matr. page 3

	D SP ED 501 Psych ED	D SP ED 563 Assmt P & P	D SP ED 503 M & M	D SP ED 504 Pract	SP ED 520 M & M	SP ED 552 Tchg S/P	SP ED 519 ABA	SP ED 508 Prnt Coun	C D 531 C.P. MH	SP ED 593 Adv B MgmtS	SP ED 593 Med Asp	SP ED 593 Summer Inst#1	SP ED 593 Summer Inst#2	SP ED 580 Simple Tech	SP ED 582 Adv Ast B	SP ED 585 Asst Tech	SP ED 595 Sem D D	SP ED 595 Proj Th Pl	SP ED 595 Adv F P	SP ED 593 Int Sh
Curriculum																				
1. Curriculum development ability:																				
a. primary learning domains			x	x		x													x	
b. age appropriate			x	x		x													x	
c. functional			x	x		x													x	
d. natural environment			x	x		x													x	
2. Develop or use curriculum including technology:																				
a. Attention training,			x	x		x													x	
b. sensory-motor training,			x	x		x													x	
c. speaking, imitating, relating to social stimuli,			x	x		x													x	

*- Please see the 3 competency lists provided for more detail.

D- Indicates a deficiency course.

[]- Indicates competencies developed by Gast and Wolery.

()- Indicates competencies developed by initial planning group. Competencies without brackets or parenthesis are from the review by Whitten & Westling.

B- Blackhurst competencies

Note- This will be designed for each trainees specific needs.

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* Competency Statements & M. page 4

	D SP ED 501 Psych ED	D SP ED 563 Asmt P & P	D SP ED 503 M & M	D SP ED 504 Pract	SP ED 520 M & M	SP ED 552 Tchg S/P	SP ED 519 ABA	SP ED 508 Prnt Coun	C D 531 C.P. MH	SP ED 593 Adv B MgmtS	SP ED 593 Med Asp	SP ED 593 Summer Inst#1	SP ED 593 Summer Inst#2	SP ED 580 Simple Tech	SP ED 582 Adv Ast D	SP ED 505 Asst Tech	SP ED 505 Sem D D	SP ED 505 Proj Th Pl	SP ED 595 Adv F P	SP ED 593 Int Sh
Curriculum																				
d. language/ communication,			X	X		X			X										X	
e. self-help/daily living skills,			X	X		X													X	
f. toileting skills,			X	X		X													X	
g. social/ recreational skills,			X	X		X			X										X	
h. pre-academic and academic skills,			X	X		X													X	
i. mobility skills/ ambulation,			X	X		X													X	
j. physical fitness,			X	X		X													X	
k. play/ recreation.			X	X		X													X	
Behavior Management																				
1. Use appropriate techniques				X			X			X									X	X

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*- Please see the 3 competency lists provided for more detail.

D- Indicates a deficiency course.

[]- Indicates competencies developed by Gast and Wolery.

()- Indicates competencies developed by initial planning group. Competencies without brackets or parenthesis are from the review by Whitten & Westling.

B- Blackhurst competencies

Note- This will be designed for each trainees specific needs.

(6) The Extent to Which Substantive Content and Organization of the Program:

(i) Are appropriate for the students' attainment of professional knowledge and competencies deemed necessary for the provision of quality educational and early intervention services for infants, toddlers, children, and youth with disabilities, and;

(ii) Demonstrate an awareness of methods, procedures, techniques, technology, and instructional media or materials that are relevant to the preparation of personnel who serve infants, toddlers, children, and youth with disabilities, and;

(7) The Extent to Which Program Philosophy, Objectives, and Activities Implement Current Research and Demonstration Results in Meeting the Educational or Early Intervention Needs of Infants, Toddlers, Children, and Youth with Disabilities.

Items 6 and 7 contain a number of non-specific words and phrases, which provide few specific guidelines for the proposal writer. The following is a discussion of these broad terms, with helpful guidelines in developing this section.

In order to assess the *"substantive content and organization"* of your proposal, the readers will be examining this section for information which ensures that you are aware of the "state of the art" in the particular area of focus chosen for the proposal. For example, does the total course sequence, individual course outlines, texts, and readings (information to be included in appendices) that you propose reflect well-known writers and researchers of the target area? Are the methods, techniques, and procedures which you propose to incorporate consistent with best practices or research of the area? Have you incorporated up-to-date technology and media as part of your proposed program?

The guidelines are very specific in indicating that evaluation of the proposal will also focus on the *"extent to which program philosophy, objectives, and activities implement current research and demonstration results."* Here again, it is apparent that proposals will be evaluated by looking for "best practices" or "state-of-the art" information.

Therefore, it is apparent that proposal writers must integrate such information in the Plan of Operation section.

1. Provide an introductory statement to the entire section which briefly reviews the purpose or purposes stated earlier. This reminds your reader of the earlier statement and assists in bringing your purpose and objectives statements together.

2. In order to provide the large amount of information requested in this section of the proposal, the activities and management plan and the allocation of resources and personnel must be carefully noted for each objective. One way this can be done is by stating each objective then having two sub-headings, Activities and Management Plan and Allocation of Resources and Personnel, under each objective.

Example III.C.1 includes a sample of a narrative section using this approach, accompanied by Figure III.C.1 with the corresponding page from the chart.

EXAMPLE III.C.1

PLAN OF OPERATION

In order to carry out the stated purpose of this project, five specific objectives have been identified:

1. To identify, screen, and accept a minimum of 10 and a maximum of 25 trainees per year for entrance into the training program for teachers of young (3-8 years) culturally and linguistically different exceptional (CLDE) children and limited English proficient (LEP) handicapped children. Both bilingual/bicultural and monolingual/monocultural trainees will be selected.

2. To recruit and fund 5 full-time and 7 part-time trainees, including both bilingual/bicultural and monolingual/monocultural individuals who will return to the rural areas of the state to work with young CLDE/LEP children and to recruit, train, and fund city and area residents in an effort to meet both rural and urban personnel needs.

3. To develop and implement an interdisciplinary training sequence which will: (1) provide trainees with the knowledge, skills, and competencies identified as appropriate to teachers of young CLDE children and LEP

exceptional children in rural and urban ________, as well as respond to national norms and standards and state certification requirements; (2) provide appropriate, varied, and continuous practicum experiences that allow for meeting individual needs; (3) meet the needs of trainees with various backgrounds and skill levels.

4. To refine existing competencies which delineate the multicultural knowledge and skills specific to personnel preparing for careers with young CLDE/LEP children, to integrate competencies into the overall curriculum, and to field test developed competencies.

5. To develop training packages to be utilized in coursework in core classes, or to serve as samples which can be checked out by teachers, which will assist teachers in meeting the needs of young CLDE children and LEP exceptional children who may present unusual needs in terms of their bilingual/bicultural background, and accompanying physical, medical, or chronic health problems.

Objective One: To identify, screen and accept a minimum of 10 and a maximum of 25 trainees per year for entrance into the training program for teachers of young (3 to 8 years) culturally and linguistically different exceptional children (CLDE) and Limited English Proficient (LEP) children. Both bilingual and bicultural and monolingual/monocultural trainees will be selected.

Activities and Management Plan

1. Development of recruitment materials and procedures. The following recruitment devices will be developed immediately: Posters, brochures, news releases, and training program application. Posters will be inexpensive quick print items, printed on heavy paper stock, which may be distributed at several places on campus and sent to each elementary school and Head Start Center in the city and surrounding areas and to each Developmental Disability program in the city and throughout the state. These will be used until comprehensive brochures can be developed and made available for mailing. This second item will be a combined brochure/mailer, containing detailed program and stipend information. It should be ready for mailing no later than mid-July. Both the campus newspaper and the local papers have been successful recruiting devices for other special programs. News releases will be

sent through the ___ Public Information Office to regional newspapers as well. Parent and professional groups have infrequent newsletters, which may also include information about the program. The ___ newsletter reaches each teacher in the district and is an excellent information source4 for all programs in our department. Several trainees for the bilingual special education program have been brought into the department through the ___ Newsletter. Also to be prepared is the application to the specific training program, which will meet departmental guidelines, as well as project evaluation requirements. Figure 1, the Project Activities/ Timeline Chart provides detailed support information for all objectives, and is found at the end of the Plan of Operation Section.

2. Identification and Contact of Potential Trainees for Academic Year Program. This activity will be occurring concurrently with the first activity. Students who are potential applicants for this program will have already completed a basic teacher certification program because of ________ certification requirements. Bilingual/bicultural trainees will be recruited from the bilingual education training program primarily and will probably have bilingual education certification. First, all graduating seniors will be contacted, especially those with an early childhood

or bilingual education minor. The two individuals directing the Bilingual/ESL Education Training Program will also assist in the identification of recruits. A second source of trainees are students in the undergraduate program in the Special Education Department. These students will be contacted during their senior year as well. A third source of trainees is the many returning, non-traditional students on the ___ campus. In 1984, the average age of a ___ student was 27.4 years. These students have decided to either continue former studies, or begin college for the first time.

Students who respond to recruitment efforts must complete the admissions packet. This packet includes an application to the Graduate School, the Special Education Department, and the training program for teachers of young CLDE/LEP students, as well as an application for stipends. Students meeting established department deadlines will then be considered for admission to the program.

Allocation of Resources and Personnel. As indicated by the Project Activities/Timeline Chart, the Project Co-Directors (PCD's) have complete responsibility for all activities under Objective One. A portion of the 24 summer research days requested in the budget for the PCD's will be spent completing these initial activities. Specific requests appear in the budget to support all recruitment materials and activities including communication and copying. A request for office supplies will assist in supporting the development of all recruitment materials, application forms, and initial project correspondence. The budget also requests the support of a secretary at .33 FTE to assist in all clerical aspects of the project. Please refer to Figure 1 for detailed information on activities, timelines, personnel responsibilities, and projected completion dates.

Figure III.C.1

Project Activities/Timeline

jective 1

Activities	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	T/A Respon	Eval Respon	Task Complet Date
1. Development of Recruitment materials for academic year programs															
a. Poster Development	X												PD/JD	PD/JD	June
b. Brocuhure Development	X												PD/CV	PD/CV	June
c. News Release-Regional and local	X												PD/CV	PD/CV	June
d. Organizational Newsletter	X	X	X										PD/CV	PD/CV	Sept
e. APS Newsletter			X										PD/CV	PD/CV	Aug
f. Prepare application for training program	X												PD/JD	PD/JD	June
g. Mail posters (General)	X												Sec	PD/JD	June
h. Mail Brochures (Detailed)	X												Sec	PD/CV	June
2. Identification and Contact of Potential Trainees															
a. Graduating Seniors, El.Ed			X				X				X		PDs	PD/CV	Ongoing
b. Sp Ed Undergraduates			X				X				X		PDs	PD/CV	Ongoing
c. Nontraditional Students			X				X				X		PDs	PD/CV	Ongoing
d. Mail Admission Packets	AS REQUESTED												Sec	PD/CV	Ongoing

LEGEND

T/A Resp - Task/Activity Responsibility (Individuals Responsible)

Eval Resp - Evaluation Responsibility

Task Comp Date - Projected Task Completion Date

PD	Project Co-Director
JD	Name
CV	Name
PA	Project Assistant
Sec	Secretary
CS	Content Specialist
PT	Part Time Instructor

Appendix III.C.1

Plan of Operation

PLAN OF OPERATION

In order to carry out the stated purpose of this project, five specific objectives have been identified:

1. To identify, screen, and accept a minimum of 10 and a maximum of 25 trainees per year for entrance into the training program for teachers of young (3-8 years) culturally and linguistically different exceptional (CLDE) children and limited English proficient (LEP) handicapped children. Both bilingual/bicultural and monolingual/monocultural trainees will be selected.

2. To recruit and fund 5 full-time and 7 part-time trainees, including both bilingual/bicultural and monolingual/monocultural individuals who will return to the rural areas of the state to work with young CLDE/LEP children and to recruit, train, and fund city and area residents in an effort to meet both rural and urban personnel needs.

3. To develop and implement an interdisciplinary training sequence which will: (1) provide trainees with the knowledge, skills, and competencies identified as appropriate to teachers of young CLDE children and LEP exceptional children in rural and urban ____________, as well as respond to national norms and standards and state certification requirements; (2) provide appropriate, varied, and continuous practicum experiences that allow for meeting individual needs; (3) meet the needs of trainees with various backgrounds and skill levels.

4. To refine existing competencies which delineate the multicultural knowledge and skills specific to personnel preparing for careers with young CLDE/LEP children, to integrate competencies into the overall curriculum, and to field test developed competencies.

5. To develop training packages to be utilized in coursework in core classes, or to serve as samples which can be checked out by teachers, which will assist teachers in meeting the needs of young CLDE children and LEP exceptional children who may present unusual needs in terms of their bilingual/bicultural background, and accompanying physical, medical, or chronic health problems.

Objective One: To identify, screen and accept a minimum of 10 and a maximum of 25 trainees per year for entrance into the training program for teachers of young (3 to 8 years) culturally and linguistically different exceptional children (CLDE) and Limited English Proficient (LEP) children. Both bilingual and bicultural and monolingual/monocultural trainees will be selected.

Activities and Management Plan

1. Development of recruitment materials and procedures. The following recruitment devices will be developed immediately: Posters, brochures, news releases, and training program application. Posters will be inexpensive quick print items, printed on heavy paper stock, which may be distributed at several places on campus and sent to each elementary school and Head Start Center in the city and surrounding areas and to each Developmental Disability program in the city and throughout the state. These will be used until comprehensive brochures can be developed and made available for mailing. This second item will be a combined brochure/mailer, containing detailed program and

stipend information. It should be ready for mailing no later than mid-July. Both the campus newspaper and the local papers have been successful recruiting devices for other special programs. News releases will be sent through the _____ Public Information Office to regional newspapers as well. Parent and professional groups have infrequent newsletters, which may also include information about the program. The _____ newsletter reaches each teacher in the district and is an excellent information source4 for all programs in our department. Several trainees for the bilingual special education program have been brought into the department through the _____ Newsletter. Also to be prepared is the application to the specific training program, which will meet departmental guidelines, as well as project evaluation requirements. Figure 1, the Project Activities/ Timeline Chart provides detailed support information for all objectives, and is found at the end of the Plan of Operation Section.

2. Identification and Contact of Potential Trainees for Academic Year Program. This activity will be occurring concurrently with the first activity. Students who are potential applicants for this program will have already completed a basic teacher certification program because of _______________ certification requirements. Bilingual/bicultural trainees will be recruited from the bilingual education training program primarily and will probably have bilingual education certification. First, all graduating seniors will be contacted, especially those with an early childhood or bilingual education minor. The two individuals directing the Bilingual/ESL Education Training Program will also assist in the identification of recruits. A second source of trainees are students in the undergraduate program in the Special Education Department. These students will be contacted during their senior year as well. A third source of trainees is the many returning, non-traditional students on the _____ campus. In 1984, the average age of a _____ student was 27.4 years. These students have decided to either continue former studies, or begin college for the first time.

Students who respond to recruitment efforts must complete the admissions packet. This packet includes an application to the Graduate School, the Special Education Department, and the training program for teachers of young CLDE/LEP students, as well as an application for stipends. Students meeting established department deadlines will then be considered for admission to the program.

Allocation of Resources and Personnel. As indicated by the Project Activities/Timeline Chart, the Project Co-Directors (PCD's) have complete responsibility for all activities under Objective One. A portion of the 24 summer research days requested in the budget for the PCD's will be spent completing these initial activities. Specific requests appear in the budget to support all recruitment materials and activities including communication and copying. A request for office supplies will assist in supporting the development of all recruitment materials, application forms, and initial project correspondence. The budget also requests the support of a secretary at .33 FTE to assist in all clerical aspects of the project. Please refer to Figure 1 for detailed information on activities, timelines, personnel responsibilities, and projected completion dates.

Objective Two: To recruit, and fund five (5) full-time and seven (7) part-time trainees from both bilingual/bicultural and monolingual/monocultural individuals, who will return to rural areas of the state to work with young CLDE/LEP children and to recruit and fund city residents in an effort to meet both rural and urban personnel needs.

This objective focuses on recruitment of four groups of individuals: (1) bilingual/bicultural applicants; (2) monolingual/monocultural applicants interested in

Component (d)

Evaluation Plan

(10 points)

The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation:

(1) Are appropriate for the project;

(2) To the extent possible, are objective and produce data that are quantifiable, including, but not limited to, the number of trainees graduated and hired; and

(3) Provide evidence that evaluation data and student follow-up data are systematically collected and used to modify and improve the program.

(d) EVALUATION PLAN (10 points)

The proposal must include an evaluation plan which clearly addresses the overall purpose and the specific objectives. As a general rule, both formative evaluation and summative evaluation measures should be included. Formative evaluation procedures will provide information about the quality of the ongoing program. This information will provide feedback to project staff who may make changes as required. The summative evaluation measures assess program qualities in a more global way and provide information as to the effectiveness of the program in meeting its overall purpose. This latter type of evaluation should collect on-going data all along but is typically summarized at the end of a period, such as annually or at the grants termination. (Some sample evaluation questions are found in Appendix III.D.1.)

Following are some guidelines which will assist in developing your evaluation section.

1. Identify the major components of your project which will need evaluation. This can be done by looking at your objectives and identifying sub-parts. The following are examples of items which might be part of an evaluation system.

- Coursework in the core of the program.
- Coursework in summer institute or weekend short courses.
- Tracking procedures in job placement.
- Recruitment procedures or trainee selection.
- Funding of targeted groups.

2. Take each heading which is appropriate for your proposal and identify the major evaluation concern for that specific heading. For example, your emphasis on the major area of recruitment procedures or trainee selection might read like the following:

> **Evaluation Concern.** All agencies, LEA's and organizations which would be instrumental in informing appropriate applicants, must be notified of the project; appropriate procedures must be outlined to produce adequate numbers of qualified applicants for screening and acceptance in the the project

From the above statement it is possible to identify measurement strategies and evaluation questions.

Table III.D.1

Measurement Strategies: To answer the evaluation concerns in the recruitment component, a number of measurement strategies will be employed.

1. Data collection regarding program announcements, telephone contacts, announcements at conferences, and in graduate classes
2. Accounting the number of applications received, number of applicants accepted, and number of applicants on waiting list.
3. Demographic information including number of students enrolled, number of new students, types of present position employment, numbers from urban and rural areas, and numbers of underrepresented groups.
4. Application reviews or interviews to determine how they were informed of the program, number of courses to be enrolled in each semester, occupational goals, and anticipated completion date of training.

Specific evaluation questions can be developed for each component identified based on the identified measurement strategies. The entire set of evaluation questions can be included in the appendices of your proposal or, if fairly concise, they can constitute the final section of your narrative. Table III.D.1. contains sample questions which reflect the evaluation concerns and the measurement strategies outlined.

This type of information should be provided for each major component of the project to be evaluated. The example of the evaluation questions also provides other important questions for your proposal readers.

1. What is the instrument or data source from which you will draw your information?
2. Who are the personnel responsible for gathering the data?
3. At what point will the data be gathered?

This appended information provides a great deal of data for your proposal and indicates that you have carefully planned this aspect of your evaluation.

If you are using specific instruments to assess any aspect of your program or to assess trainees, that instrument should be referenced and provided as part of your supporting information in an appendix. If it is a well known instrument and it is bulky or expensive, then reference the instrument or provide a few sample pages.

Your evaluation plan should reflect how data gathered will be used to modify and improve your program. This may be done by establishing decision dates, when selected evaluation data will be analyzed, reviewed, and considered in making program adjustments. If you have an advisory committee and project staff can assist in this process. You may also wish to consider using target trainees in this process.

Appendix III.D.1

Sample Evaluation Questions

1. RECRUITMENT PROCEDURES/TRAINEE SELECTION

Evaluation Questions

EVALUATION QUESTIONS	INSTRUMENT/ DATA SOURCE	*PROJECT PERSONNEL RESPONSIBLE	DATA COLLECTION POINTS
1. How many recruitment activities took place?	Project Records	PD/CV	Each Semester
2. Where/how did students hear about program?	Program Application/ Screening Packet	PD/CV	Each Semester
3. How many inquiries were received?	Log	PD/CV	Each Semester
4. What are trainee reasons for enrolling?	Application/Screening Packet	PD/CV	Each Semester
5. How many students applied to the program?	Application/Screening Packet	PD/CV	Each Semester
6. What is the Ethnicity and Bilingual/Bicultural background of applicants?	Application/Screening Packet	PD/CV	Each Semester
7. How many students were accepted to the program?	Application/Screening Packet	PD/CV	Each Semester
8. What is the bilingual/monolingual ratio of students accepted?	Class List	PD/CV	Each Semester
9. How many students refused acceptance?	Refusal List	PD/CV	Each Semester
10. Why did students refuse acceptance?	Phone Conversation	PD/CV	Each Semester
11. What type of previous preparation do students have?	Application/Screening	PD/CV	Each Semester
12. How many members of under-represented groups accepted/enrolled?	Demographic Data Application/Screening Packet Class List	PD/CV	Each Semester
13. Was there an adequate balance of urban/rural applicants?	Application/Screening Packet	PD/CV	Each Semester

*Though PDS (Project Co-Directors) appears in some columns, the overall responsibility r evaluation has been assigned to NAME.

Component (e)

Budget and Cost Effectiveness

(10 points)

(1) *The Budget for This Project is Adequate to Support the Project Activities*

(2) *Costs are Reasonable in Relation to the Objectives of the Project*

(3) *The Applicant Presents Appropriate Plans for the Institutionalization of Federally Supported Activities Into Basic Program Operation*

(e) BUDGET AND COST EFFECTIVENESS (10 points)

(1) The Budget for This Project is Adequate to Support the Project Activities

(2) Costs are Reasonable in Relation to the Objectives of the Project

Some proposal writers include no specific section for this heading or these two subheadings. They tend to believe that the budget detail and budget justification sections address this topic adequately. However, it is easy to include this heading, as well as the subheadings, and provide the reader with a summary paragraph which points out that the budget detail and budget justification clearly support the overall project goal and the specific objectives of the project. Refer the readers once more to the chart which includes all information on objectives, activities, timelines, and resource allocations. You might provide a summary statement of how much of the budget provides support to students (if you have requested a great deal of support in this area), or a statement which highlights another feature of your proposal. This would be an appropriate place to highlight the in-kind contributions of your institution or another agency.

Reviewers of your proposal are instructed to consider two specific aspects of the proposed budget. First, have you requested adequate funds to support your project? And, second, are costs reasonable for the benefits which are expected as a result of the funding.

(3) The Applicant Presents Appropriate Plans for the Institutionalization of Federally Supported Activities into Basic Program Operation

The proposal must include long-range plans which indicate how the proposed program will function when federal funds are no longer provided. This ensures that programs initiated with outside support will continue beyond the final funding date of a specific award. Provision of such a plan should not be overlooked in the development of the total proposal.

The following are several ways such assurance might be provided.

1. It may be documented that the faculty projected as course instructors for the proposed training sequence are already on board and that only minimal support is requested, while they are being released by the college or university to develop this new training program. Most of the requested assistance

might go to funding students, purchase of instructional materials to up-date basic materials available, and part-time instructors who might provide highly specific information not usually possessed by a single faculty member.

2. It is possible to indicate that existing courses taught by other faculty will be altered or adapted over the span of the project to meet the needs of the proposed training program, thereby serving existing programs as well as the newly proposed program. It may be possible to show how courses existing in other departments provide some support for your proposed program. Therefore, it is not necessary for the proposal to support all instruction required for the proposed program, at the present or in the future.

3. Your institution may have a history of beginning programs with federal dollars and then continuing such programs after termination of federal funds. A documentation of this procedure would be helpful when you are requesting support for a new program.

4. You may outline a specific plan which will be implemented when the programs begins. The plan would include specific information that would indicate how local education agencies, other colleges and universities in the area or region, and the State Education Agency or other agencies or organizations will be working together to ensure continuance of the program when federal dollars are no longer available. The plan could be strengthened if the proposal contains support letters or letters of agreements from individuals who represent a variety of agencies and organizations.

Part IV of this manual, Budget Development, provides further process, details forms, and format. Please refer to that part when developing the Component Budget and Cost Effectiveness section of your proposal.

IV

BUDGET DEVELOPMENT

A. Preliminary Information

Appendix

IV.A.1 Data Collection Form

B. Budget Detail

C. Budget Justification

D. Contributed Budget

Appendix

IV.D.1 Possible Items for Contributed Budget and Justification

E. Federal Budget Forms

Appendix

IV.E.1 Budget Information - Non Construction Programs

IV. BUDGET DEVELOPMENT

Some grant writers begin with a budget outline and fill in the details as the written narrative develops. Others develop a budget which is fairly complete and the narrative is written to support the budget. This is a matter of personal preference and successful proposals may result from either approach. The important factor to remember is that the budget must clearly support the objectives and activities which are presented in the narrative. A data collection form to assist in gathering information to develop a budget is included in Appendix IV.A.1.

A. PRELIMINARY INFORMATION

Before constructing a budget it is necessary to collect information about costs within your own institution. Specific numbers can be assigned only after the work scope is determined. The budget should reflect the objectives and tasks specified in the scope of work.

1. PERSONNEL (Salaries)

Step 1. Determine which faculty and staff will be required to complete the tasks.

Step 2. Determine the amount of time Full Time Equivalent (FTE) each person will commit to the project (e.g., 20% = .20 FTE).

Step 3. Collect contract salaries for each faculty and staff member committed to the project.

Step 4. Determine the number of days required on each faculty and staff member's contract.

2. FRINGE BENEFITS

Step 1. Determine if your college or university has a negotiated fringe rate with the Office of Management (or perhaps, a vice president or the President provides this information). If so, note the fringe rate.

If a negotiated fringe benefit rate does not exist, collect information on the rates of all fringe benefit categories. Typically these would include the following and perhaps some others as well.

- Workman's Compensation Insurance
- FICA
- Retirement
- Health Insurance
- Life Insurance
- Other fringe benefits such as family tuition
- Waivers or discounts for university events

Step 2. Determine if the fringe rates vary for different types of employees. Sometimes clerical staff have a different fringe rate than do faculty.

3. TRAVEL

Step 1. Determine the official reimbursement policies for your institution for the following:

- Mileage Reimbursement Rate
- Per Diem Rates
- Lodging Rates
- Policies on taxies, parking at airports, ground travel, and transfer costs

You must comply with the travel policies and reimbursement rates of your college or university.

Step 2. If you are planning to include a trip to a local, state, regional or national conference as part of your work scope, the following information is required:

- Name of Conference
- Location of Conference (City) for the year you plan to attend
- Dates you will be attending (Allow for travel time)
- Estimated Airline Fare or other transportation costs
- Estimated ground travel costs (cost of travel between the airport and the conference site)
- The approximate cost of registration for the conference.

Careful itemization of conference expenses will improve your chances of having this budget item approved.

Step 3. If local travel to supervise students is part of the work scope, estimate the number of miles to the field sites and the number of trips which will be made to each site.

4. EQUIPMENT

Normally, equipment is not an allowable expense in training grants. If you are considering requesting equipment as part of your proposal, it is best to discuss this item with the contact person at OSERS. If you do request equipment you should determine the best available cost, and justify it well.

5. SUPPLIES

In general, this budget line should include primarily consumable items and instructional materials. It can include office supplies, instructional supplies, instructor resources, etc. It is usually necessary to estimate an average monthly cost if you cannot be sure of the amount of material needed. As a general rule, this item should not exceed $1,500 to $2,000. If there are specific supplies which will be needed, itemize and list the cost of each item.

If you are requesting office supplies, $40 to $70 per month usually covers the costs for these items. Instructional supplies and resources also require about $40 to $70 per month depending on the scope of work and your present resources.

6. CONTRACTUAL

This item concerns cost involving subcontracts of some type. Often, consultants should be included here. (Check with your university officials to see if they would prefer having the consultants' line item in the Contractual or other category.)

Step 1. Determine policies for employing consultants at your college or university.

Step 2. Contact the individuals you want to use as consultants and obtain their permission to function as a consultant if you are funded.

Step 3. Obtain the fees of people you identify.

Step 4. Determine the cost of travel, lodging, and per diem for the consultants.

Step 5. Determine how many days you will use each consultant.

Step 6. Specify the purpose for each consultant and state how the consultant will be used. Define the role and work scope.

7. OTHER

This section includes all items which do not appear in other budget lines. This includes copying, film rentals, tuition waivers, stipends, recruitment costs, communication costs (postage, telephone, fax, shipping, etc.).

7a. STIPENDS

Step 1. Determine the policies and standards for awarding stipends and fellowships at your college or university.

Step 2. Determine the standard amounts for stipends and fellowships at your college or university.

Step 3. Determine whether stipends will be awarded for academic school year only or academic school year and summer session.

Step 4. Determine how many stipends will be awarded.

7b. Tuition Waivers

Step 1. Determine the tuition costs (per hour) for in-state and out of state students.

Step 2. Determine college policies on awarding tuition waivers.

Step 3. Determine whether tuition waivers will be offered for both academic year and for summer sessions.

Step 4. Determine how many hours of tuition waivers will be granted for each student.

7c. Other Student Support

Textbooks and Supplies. Costs of textbooks for students may be requested in the proposal. If provision of textbooks fits in the objectives and work scope of the proposal, the cost should be carefully specified. Some projects have allowed a flat amount to cover the cost of texts and supplies. You might want to have an upper limit, such as $75 or $100 per semester. Carefully explain what types of items may be purchased under the text and supply allowance. It is also possible to purchase texts and then check them out to students. This type of loan system is costly in the initial project stages, but it saves money in the second and third years of the project.

Step 1. Determine which texts are used for each course in the course sequence.

Step 2. Determine in what order the students will be taking the courses.

Step 3. Determine the costs of each book and the number of books needed each semester.

Step 4. Compute the cost of the books needed each semester.

Student Travel. In some cases it is desirable to provide travel costs to student for a variety of activities. If it is necessary to travel long distances from the campus to practicum and student teaching sites, reimbursement for mileage may be necessary in order to have an appropriate site. These can be included in the budget.

Travel for field trips and local, state, or national conferences may be appropriate if it is necessary to fulfill the objectives of the proposal. These costs can be included if adequately justified. It is important to carefully itemize such requests.

7d. Other Types of Costs

Copying Costs. Most projects have duplication costs. Support may be requested.

Step 1. Estimate the number of copies needed each month.

Step 2. Determine the per sheet cost charged by facilities in your college or university.

Rental and purchase of films, video tapes, audio tapes, and training packages are allowed. In order to have these items approved it is important to show how the items will contribute to the workscope and to meeting the objectives of the proposal. Reviewers are more inclined to recommend approval of these items when the name of the item (films, tapes, etc.) is specified and the cost and vendor provided.

Step 1. Determine the name, cost and source of films, video tapes, and training packages you need to complete the work scope and meet the objectives of the project.

7e. Recruitment

In most cases some amount of recruitment is necessary to ensure that your target population is informed about the opportunity to apply to your program. Several avenues are available for recruitment including distribution of flyers to places where prospective students may be located such as public schools if you are targeting teachers for retraining, student living quarters if targeting undergraduates, bulletin boards, student newspapers, campus radio stations, student organizations, advocacy organizations, employment offices, unemployment offices, local newspapers, and the public relations office in your college or university. It is important to identify approaches which will ensure that all underrepresented populations are made aware of the project and funding opportunities. Many reviewers look very closely at your recruitment plan. Costs of recruitment can be included in the budget if a plan for recruitment is presented.

Step 1. Determine what methods and avenues you wish to use to disseminate information about the program and funding opportunities.

Step 2. Determine names and phone numbers of contact people whom you will use for dissemination of recruitment information, along with names and addresses of appropriate agencies and organizations.

Step 3. Determine the costs of newspaper ads, public service ads on radio and TV, cost of designing and producing flyers, brochures, posters and cost of mailing flyers, etc.

There may be other costs, depending on the objectives and work scope of the project. Some people are now using electronic mail to maintain contact with students in the program. Others require students to be videotaped as a way of documenting their progress. Some projects have used still photographs to document project activities. The costs in this category depend on the objectives, the workscope and the activities associated with them.

Appendix IV.A.1

Sample Budget Data Collection Form

Appendix IV.1.
Budget Data Collection Form

Personnel (Faculty)

Name of person ________________
Contract Salary ________________
Number of days in Contract ________________
Estimated salary increase for next fiscal year ________________
FTE (in Percent of time) committed to proposal ________________

Name of person ________________
Contract Salary ________________
Number of days in Contract ________________
Estimated salary increase for next fiscal year ________________
FTE (in Percent of time) committed to proposal ________________

Name of person ________________
Contract Salary ________________
Number of days in Contract ________________
Estimated salary increase for next fiscal year ________________
FTE (in Percent of time) committed to proposal ________________

Fringe Benefits

Negotiated Average Rate of College or University ________________

If there is no negotiated average rate collect fringe line items for your college or university

Workmens Compensation (% of salary) ________________
Health Insurance (% of salary) ________________
Life Insurance (% of salary) ________________
FICA (% of salary) ________________
Retirement (% of salary) ________________
Other Benefits (% of salary) ________________

Travel

Allowable mileage rate ____________________

Allowable Per Diem ____________________

Allowable Lodging ____________________

Allowable other travel charges ____________________

Supplies

Item/Category ____________________
Estimated monthly charges ____________________

Item/Category ____________________
Estimated monthly charges ____________________

Item/Category ____________________
Estimated monthly charges ____________________

Item/Category ____________________
Estimated monthly charges ____________________

Item ____________________
Number and unit cost ____________________

Contractual

Name of Consultant ____________________
Purpose of Consultant ____________________
Cost of consultant (By Day) ____________________
Number of days consultant to be used ____________________
Per Diem for consultant ____________________
Lodging for consultant ____________________
Air Fare for Consultant ____________________

Other

Estimated monthly Communication costs ____________________
- Telephone ____________________
- Postage ____________________
- Shipping ____________________

Copy and reproduction costs
- Monthly charges ____________________

Other (Cont.)

Stipends
Number of students to receive stipends ____________

Amount of monthly stipend for each student ____________

Book and supply stipend for each student ____________

Tuition Waivers
Number of students to receive tuition waivers ____________

Number of hours of tuition waiver each student will receive ____________

Number of semesters each student will receive tuition waiver ____________

Recruitment

Flyers or Brochure
Cost of Design ____________
Per unit cost of printing ____________
Number of units to be printed ____________

Newspaper ads
Newspaper Name ____________
Cost per ad ____________
Number of times ad to run ____________

Newspaper Name ____________
Cost per ad ____________
Number of times ad to run ____________

Other types of costs
Item ____________
Unit Cost ____________
Number of units ____________

Item ____________
Unit Cost ____________
Number of units ____________

B. BUDGET DETAIL

You are ready to begin the development of your budget detail once you have gathered the information and have decided how to allocate the total dollars you plan to request. The RFP contains the average range of awards for specific competitions. Most proposal writers use these estimated figures to guide the overall budget development. Figure IV.B.1 contains an example of a Budget Detail as it would be prepared to accompany a proposal.

Develop your budget detail by following the order presented on the Federal Budget Information form, Section B, Budget Categories. You begin the budget detail by presenting your requests for personnel (6a) and fringe benefits (6b). Please note that two columns are provided. There is one column for each item expenditure and a column for the total expenditure in each "Object Class Category." As can be seen in Figure IV.B.1, separate entries are made for travel, supplies, contractual and other.

The last page of the Budget Detail (Figure IV.B.1) shows how the category totals are added together to determine the Total Direct Costs. There is one more calculation to make when you have determined the Total

Direct Costs. To determine the Indirect Cost Total, you must multiply by 8% (the established rate by the U.S. Department of Education). This Indirect Cost amount is added to your Total Direct Cost. This total is reflected under the heading of Total Charges in Figure IV.B.1.

FIGURE IV.B.1

BUDGET DETAIL

	ITEM COSTS	CATEGORY TOTALS
PERSONNEL SALARIES & BENEFITS		
Project Director		
.20 FTE X $54,000	$10,800	
10 Summer Research Days X $54,000/195 DAYS	$ 2,769	
Project Assistant		
$8,000	$ 8,000	
Secretary		
.50 x $17,500	$ 8,750	
Part time instruction		
3 courses x $2,250	$ 6,750	
TOTAL SALARIES	**$37,069**	
*Fringe Benefits @22% of Salaries	$ 8,155	
Workmens Compensation		
Insurance		
FIÇA		
Retirement		
Other Benefits		
TOTAL FRINGE BENEFITS	**$ 8,155**	
TOTAL SALARIES & BENEFITS		**$45,224**

* Negotiated university rate for both faculty and staff.

TRAVEL

1 trip to CEC in Washington, DC for Project Director		
Airplane Fare - Round Trip	$880	
Per Diem 4 days x $50 per day	$200	
Lodging 3 days x $120 per day	$360	
Ground travel and transfers	$ 50	
TOTAL TRAVEL		**$ 1,490**

SUPPLIES

Office supplies $40 per month x 12 months	$ 480	
Instructional Supplies $60 per month x 12 months	$ 720	
Instructor Supplies $50 per month x 12 months	$ 600	
Video tape 20 cassettes x $4.20	$ 84	
TOTAL SUPPLIES		**$1,884**

CONTRACTUAL

Consultants		
$250 per day x 3 days	$ 750	
Per Diem 4 days x $30 per day	$ 120	
Lodging 3 days x $100 per day	$ 300	
Airplane Fare $650 per round trip	$ 650	
TOTAL CONTRACTUAL		**$1,820**

OTHER

Telephone Long Distance Charges $25 per month x 12 months	$ 300	
Phone line costs $20 per month		
Student Stipends 10 students x $200 per month x 12 months	$24,000	

Student Tuition		
Academic Year		
10 students x 12 hours 2 semesters x $85 per hour	$20,400	
Summer School Tuition		
10 students x 6 hours x $85 per hour	$ 5,100	
Project Assistant		
Academic year		
12 hours x 2 semesters x $85 per hour	$ 2,040	
Project Assistant		
Summer school		
6 hours x $85 per hour	$ 510	
Copying		
$45 per month x 12 months	$ 540	
Film Rental		
1 day x $70/day	$ 70	
1 day x $130	$ 130	
Recruitment		
Flyers & Brochure	$ 400	
Newspaper ads		
Campus paper - 2 ads x $40 each	$ 80	
Local Daily 2 ads x $55	$ 110	
TOTAL OTHER		**$53,680**
TOTAL DIRECT COSTS		**$104,098**
INDIRECT COSTS		
Total direct Costs x 8%		**$8,328**
TOTAL CHARGES		**$112,426**

C. BUDGET JUSTIFICATION

When you have completed your Budget Detail, you must then write a narrative (justification) to support the requests you have made.

The budget justification is extremely important in the proposal development process. The quality of the justification often determines the amount of money that is awarded and whether certain line items are funded. Part of the secret is to be very detailed and specific when writing the justification. **All budget items should be tied to project activities, goals, objectives, and scope of work outlined.**

1. PERSONNEL

Project Director

Several factors are important here. First, include the director's name and degree, as in, Dr. Jane Doe, Ph.D. Second, make reference to the skills of the director even though you have already discussed the quality of the key personnel. Third, specify the exact duties of the director, such as: "She will be responsible for the overall administration of the project, including budget management, supervision of staff, and evaluation. In addition, she will teach and assist in the supervision of practicum students." In this description, it is clear that most of the work will be completed by the Project Director.

If summer days or extra days during the school year are requested, it is important to specify why these days are needed and what tasks will be addressed during the extra days. When requesting extra compensation for the regular contract period of the director, specify what duties or what part of the work scope requires the director to work outside of the normal contract period.

The time commitment should be stated again as FTE and also the number of days represented by that Full Time Equivent (FTE). Review panels like to know that the staff will be available for enough time to ensure that the project will be successful.

Caution: Make sure that the justification is written in such a manner that the duties of other staff members are also clearly defined. Most of the time the director should have supervisory duties, report writing, student advisement, and overall management duties. The director may also teach, supervise student teaching or perform other similar duties.

Clerical/Secretary

Describe the clerical duties which this person will perform. Include such things as correspondence, management of project records, management of student records, typing, and filing. The duties should be consistent with the FTE you have requested in the budget detail and consistent with the work scope of the project.

Other Staff

Staff positions should include the staff members' names and degrees. Briefly mention unique skills which the staff member will contribute to the project. These skills should relate directly to the goals, objectives, and work scope of the project. Describe specifically the duties of the staff person. For example, "Dr. John Buck has 11 years experience testing and designing programs for students with severe or profound handicaps. He will be responsible for teaching courses in assessment of students with multiple handicaps. In addition, Dr. Buck will consult with the project staff on designing programs for students with severe or profound handicaps."

Again, specify the amount of time each staff member will commit and when the work will be done (summer, fall, spring).

2. FRINGE BENEFIT

The Fringe Benefit line refers to the costs the institution must pay for the employee such as the university's cost for FICA, Retirement, and Insurance. Fringe Benefits are handled differently, depending on the agreement your institution has with the Grants and Contracts Services and Office of Management and Budget. Some universities have a negotiated average fringe benefits rate that is charged against all salaries. If your institution has such an agreement you may merely state that "The University has a negotiated average fringe benefits rate of 25% of salaries." If you do not have a negotiated agreement, then each fringe benefit category should be listed individually with separate percentages and amounts assigned. You must then multiply the fringe benefit rate for each item times the salary for each individual. This process complicates your job, but is required for the budget process.

3. TRAVEL

Review panels examine travel requests carefully. Travel can take several different forms, such as travel to supervise students, travel expenses for students to go to training sites, travel for students to attend specified meetings or take specific field trips, and travel to local, state, regional and national conferences.

Travel to supervise students

Reasonable mileage costs to supervise student teachers or practicum students, gain favorable reception. You should, if possible, specify the anticipated locations which should have been described in the narrative section of the proposal, the distance to each site, and the number of times you anticipate visiting each site.

Student travel to training sites

Reimbursement for student travel can sometimes be justified, when a project goal is to assist students from economically disadvantaged areas to obtain a teaching credential. This should be justified on the grounds of the cost of traveling to training or practicum sites. The costs should be specified according to the type of transportation used. The project might reimburse for public transportation fares or pay mileage costs for cars.

Travel for specified meetings and field trips

It may be necessary for students to visit certain field sites as part of the training objectives listed in the narrative. For example, you might want to have all of the project staff to visit a model site which features programs for children who are to be impacted by your training proposal. If the facility is 150 miles away, costs for use of the college bus may be built into the budget in order to transport all students. A seminar scheduled by another university might be appropriate for your students and reimbursement for mileage might be the only way your students can afford to attend. Support for these items can be requested as part of the proposal. Careful justification is required and the relationship to the workscope and objectives must be clearly evident.

Travel to local, state, regional, and national conferences.

Travel for conferences is often viewed with concern by many review panels. First, you should specify exactly which conference you plan to attend. Second, be sure to list the location and the dates. Third, provide a reason for attending such as to present a paper describing the project or to recruit students. The latter reason should also be part of your recruitment plan in the narrative.

Travel for students to conferences is a legitimate request if the goals of the travel are consistent with the goals and objectives of the project. You will improve the probability of receiving approval for this request if you tie travel to project objectives and goals.

4. EQUIPMENT

Normally, training grants do not allow for the purchase of equipment. You should consult OSERS staff before including a request in your proposal if you have need for equipment in order to meet the goals and objectives of the proposal.

5. SUPPLIES

Supplies are considered to be items which are consumable or have a very short life span. Supplies include such items as paper, pencils, transparencies, video tapes, etc. It may be difficult to arrive at an exact list and cost for each item. Some reasonable estimate is still necessary, and some rationale is important for the review panel.

Some proposal writers have found it useful to break down supplies into several categories, plus noting any specific items which can be identified. The categories might include Office Supplies, Student Supplies, Instructional Supplies, and Instructor Resources.

Office supplies

Office supplies include those items necessary for the normal office activities required to conduct the project. An example of justification for this item might be, "Funds for office supplies necessary for the operation of this project are requested. Office supplies include such items as letterhead, envelopes, typewriter paper, pencils, typewriter ribbons, word processing supplies such as printer ribbons, laser cartridges, and file folders. Past experience suggests that costs average about $30 per month for a project of this size."

Instructional supplies

Instructional supplies include those items needed to carry out the instructional objectives of the project. Some items for this category might include transparencies, chalk, slide trays (if slides are being developed or already exist), video tapes, flip charts or camera film to photograph some type of instructional material. The justification might be: "Funds are requested for instructional supplies for instructional activities of the project. These supplies include such items as overhead transparencies, slide trays and or visual training materials to be developed as part of Objective 3, and flip charts to be used for class presentations."

Instructor resources

Instructor resources refer to those items needed by the instructor to develop and present quality instruction. This might include reference materialsuch as books, reprints, monographs, unpublished monographs, instructional material used in school classrooms but needed for illustration in the college classroom, and graphics used for illustration. You should only request material that is not normally available in the university library. It is helpful to specify the material to be obtained. For example, "Funds are requested for resource material for instructor use in the planning and implementation of courses associated with Objective 4. These materials will include such things as the Physician Desk Reference, Dorlands Medical Dictionary, DSM-III-R, The Vineland Adaptive Behavior Scales, etc. A detailed list of materials to be considered can be found in Appendix _."

6. CONTRACTUAL

The contractual line allows the inclusion of subcontracts with a public school district, consultants, or other third party organizations or agencies which will receive funds from this project. This might include agreements with a school district to supervise student teachers, a consultant to conduct the project evaluation, or a transportation company to provide buses for field trips.

The following is an example of justification for consultant expenses. "Educational Evaluation Services, a for-profit corporation, has agreed to conduct the evaluation of this project for the sum of $1,500. They will review all project records, interview randomly selected students (minimum of 4 per year), review project progress 2 times per year and complete written reports two times per year with an assessment of progress toward project goals and make recommendations for future activities. This budget item contributes to meeting Objective 5, Project Evaluation."

Here is an example of justification for supervision of student teachers. "The Sunflower Kansas School District has agreed to release two teachers for a total of 8 half days per teacher per semester to supervise 2 student teachers each per semester in exchange for reimbursement of $800 to cover the cost of hiring substitute teachers. This budget item will address the need for field based supervision as specified in Objective 4."

All costs should be carefully specified and tied to project objectives and activities identified to meet those objectives.

7. CONSTRUCTION

Construction costs are not normally an allowable expense on training grants awarded by the Department of Education.

8. OTHER

The Other category includes all costs not included in the above categories. This includes student costs, such as tuition, stipends, books and supplies, communication costs, non-consumable items such as film purchase and rental, and development of training materials. Do not include a line called miscellaneous. A miscellaneous line will not usually be approved.

Communication costs

Communication costs include long distance phone charges, postage, shipping, fax costs, and E-mail. The following is an example of the necessary estimate of monthly average costs. "Funds are requested for normal communication costs. This includes such items as postage (for distribution of recruitment materials and communication with students), long distance phone charges (for contacting prospective students, contact with practicum sites), E-mail (for contact with students as indicated in Objective 3), Fax costs (for contact with school districts), etc."

Student costs

Student costs depend on what parts of student expenses you decide to support. Some projects may cover only the cost of tuition, while others will address tuition, provide monthly stipends, and provide funds for books and supplies. Your decision will depend on the amount of money allowed by the RFP and by the other project support you request. Readers always respond positively to a budget which provides a strong student support component. Though there is no magic formula, you should consider allocating a minimum of 20% of your total budget request for student support. If you are able to develop a training program and provide a total of 30% to 40% of your total request for student support, this increases the likelihood of a positive response from the readers, all other factors being equal. More of the budget can be allocated to students if the university covers most of the other costs such as salaries and supplies. The following are examples of specific justifications for tuition waivers, student stipends, and book and supplies.

Tuition waivers

"Funds are requested for student support for tuition waivers for the regular academic school year and for the summer session. During the academic school year waivers are requested for full tuition for 5 students at $1,440 per semester for 2 semesters each. Tuition waivers are requested for 10 part-time students. Each part time student will be awarded waivers for a maximum of 6 hours per semester at $120 per hour. For the summer session, tuition waivers are requested for 20 students for 6 hours each at $120 per hour."

Student stipends

"Funds are requested to provide stipends of $300 per month for 12 months to 5 full time students. Stipends of $400 each for 5 rural students are requested for the summer session. These funds are required since rural students must maintain two households during the summer session, while they travel to the campus for classes. This stipend will partially offset the extra expenses incurred by these students. Objective 6 addresses the need for training for teachers in rural areas."

Books and supplies

"The focus of this project is to bring underemployed or underrepresented individuals into the educational system. Specifically targeted for recruitment are educational assistants. The cost of books and supplies often exceeds the financial resources of these students. Therefore, funds are requested for the purchase of books and supplies to be used by students in the project. Books will be purchased by the project and loaned to students receiving tuition waivers. University data estimates that the cost of books and supplies averages about $45 per course. Each student will be loaned a book for the duration of the semester and must return it to the project for use by another student during the next year."

Copying

Funds for copying are often a problem at many universities. Funds for some copying costs can be requested. Copying might be requested for making handouts, copying tests, copying student papers, and copying project documents. Normally, $40-$50 per month will cover copying expenses. At 5 cents per copy, this budget will allow for the reproduction of 1000 pages per month.

D. CONTRIBUTED BUDGET

You should include information that reflects your institutional commitment and effort. This is in addition to the Budget Detail, which specifies what you are requesting from federal support. Include information about an agency, organization, or public school which will also support your effort. A truly collaborative project will involve contributions of resources from several sources.

One way to provide such information is through the use of a contributed budget, which specifies the specific contributions to the project. The following pages provide an example of the type of items which might be included as part of a Contributed Budget. In addition, an example of the Justification of in-kind support is included.

Appendix IV.D.1

Possible Items for Contributed Budget and Justification

NEW MEXICO TRANSITION SPECIALIST TRAINING PROJECT
CONTRIBUTED BUDGET DETAIL
YEAR 2 - 1992-1993

UNIVERSITY OF NEW MEXICO

Additional personnel support from the University of New Mexico Department of Special Education, and College of Education	$ 9,250
Fringe Benefits	$ 2,035
Additional equipment, supplies, and other	$ 9,720
TOTAL U.N.M. CONTRIBUTED BUDGET	$21,005

STATE DEPARTMENT OF EDUCATION

.05 FTE of the three persons from SDE listed below, for planning, monitoring, and problem-solving at the state level and with districts	$ 4,500
Mileage and per diem for State Department of Education (including DVR) to participate in planning meetings and some training sessions; 3 people (Pat Putnam in Vocational Education, Carole Brito in Special Education, and Glen Damian in Vocational Rehabilitation) x 5 trips @ 400 average miles x $.25/mile; 5 days per diem @ $50	$ 2,250
Fringe Benefits on Personnel costs	$ 990
Communication, duplication, and clerical costs	$ 940
TOTAL SDE CONTRIBUTED BUDGET	$ 8,680

NEW MEXICO DEPARTMENT OF LABOR

Involvement of local counselors in communities' planning and transition training sessions; training by Charles Lehman in delivery of appropriate occupational information	$ 1,910
Fringe Benefits on Personnel costs	$ 344
Use of extensive library and dissemination of NMSOICC materials on labor market trends and employability of groups in various sites	$ 1,125
TOTAL D.O.L. CONTRIBUTED BUDGET	$ 3,379

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LOCAL EDUCATION AGENCIES/REGIONAL CENTER COOPERATIVES

Costs for substitutes for planning meetings and technical assistance and training visits; 3 full and 3 half days @ $35/day substitute rate	$ 7,875
Mileage and per diem for district participants to participate in summer institutes and initial planning meetings; 2 trips x 50 people @ 500 average miles @ $.25/mile; 5 days per diem each	$18,750
Facilities, audiovisual equipment, and office equipment to be provided for training sessions	$ 2,880
Use of audioconveners at outreach sites (currently approximately 18 conveners exist in LEAs and RCCs; 15 conveners @ $1,200 each)	$18,000
TOTAL LEA/RCC CONTRIBUTED BUDGET	$47,505
TOTAL CONTRIBUTED BUDGET	$80,569

STATE DEPARTMENT OF EDUCATION CONTRIBUTION

PERSONNEL

Three Project Coordinators/Assistant Directors will contribute their time as part of their respective jobs. Carole Brito, Transition Coordinator at the Special Education Unit, and Patrick Putnam, Handicapped Project Manager within the Vocational Education Unit, will be critical participants with the planning, development, implementation, and evaluation of all technical assistance and training activities. Glen Damian, Transition Coordinator for DVR, will also be integrally involved. They will help with all decision-making and will provide segments of the training where appropriate and feasible. In addition, their collaboration will necessarily involve clerical support from both of their units. 4,500

FRINGE BENEFITS - 22% of Total Personnel 990

TRAVEL

The Coordinators/Director will necessarily travel to districts where initial process planning, technical assistance, or training will be occurring. As a result, their respective units will be incurring travel expenses. 2,250

OTHER

S.D.E. involvement through the three coordinators will mean that the agency incurs expenses beyond ordinary charges. A minimum amount of contributed telephone, postage, duplication, and SpecialNet charges is listed. 940

N.M. DEPARTMENT OF LABOR CONTRIBUTION

PERSONNEL

Two areas of involvement by Department of Labor personnel are crucial for project activities. First, Mr. Charles Lehman plans to train the Project Staff, by demonstration at the first two cluster site sessions, in delivery of critical occupational information. Second, local DOL counselors will be involved as community-level planning in the transition process occurs. 1,910

FRINGE BENEFITS - 18% x Total Personnel 344

MATERIALS & SUPPLIES

The N.M. SOICC develops and distributes a wealth of information about labor market trends and employment statistics and literature that will lend great strength to the transition personnel preparation. 1,125

LOCAL EDUCATION AGENCIES & REGIONAL CENTER COOPERATIVES

PERSONNEL

LEAs and RCCs will need to provide substitute teachers for some of the time their personnel spend in training. In addition, meetings for needs assessments, decision-making, making arrangements for training, and carrying out training assignments will be necessary. A minimum level of 3 full and 3 half days is claimed, at the substitute rate of $35. 7,875

TRAVEL

LEAs and RCCs will be asked to support the training that must take place at the UNM campus by providing mileage and per diem expenses. Spread across 12 sites, and noting that many sites will represent RCC clusters of several districts, this means that each district will spend an average of less than $1,500 on travel expenses. 18,750

FACILITIES AND EQUIPMENT

Local districts or regional cooperatives will be providing the meeting rooms and audiovisual (and sometimes office) equipment needed to conduct the training at each of the cluster sites. 2,880

In addition, districts and RCCs will be asked to provide support for distance education through use of existing, or purchase of new, conveners for audioconferencing. 18,000

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E. FEDERAL BUDGET FORMS

The information presented on your Budget Detail must be transferred to the federal "Budget Information Non-Construction Programs" forms (SF424A). These two sheets must be completed and placed at the front of your proposal, immediately following your cover page (Facesheet -SF424).

The two pages in Appendix IV.E.1 are accompanied by two pages of instructions. The amounts for inclusion on these two pages are derived from the figures on your Budget Detail.

Appendix IV.E.1

"Budget Information Non-Construction Programs" Forms (SF424A)

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item: Entry:

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.
8. Check appropriate box and enter appropriate letter(s) in the space(s) provided.
   - "New" means a new assistance award.
   - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
   - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9. Name of Federal agency from which assistance is being requested with this application.
10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

Item: Entry:

12. List only the largest political entities affected (e.g., State, counties, cities).
13. Self-explanatory.
14. List the applicant's Congressional District and any District(s) affected by the program or project
15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

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INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A,B,C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A,B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column* (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required However, when more than one sheet is used, the first page should provide the summary totals by programs

Lines 1-4, Columns (c) through (g.)

For new applications, leave Columns (c) and (d) blank For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

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BUDGET INFORMATION — Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

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SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	$	$	$	$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Nonfederal					
15. TOTAL (sum of lines 13 and 14)	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS (sum of lines 16-19)	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks

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V

ORDER OF PROPOSAL

A. Facesheet

B. Assurances

V. ORDER OF PROPOSAL

The application packet specifies the order of presentation of forms. The following is the order derived from direct statements, implied information provided, and general practice.

- Face Sheet (SF424)

  The facesheet is placed as the first item of your proposal

- Abstract

  Include a one-page double-spaced abstract immediately following the Federal Assistance Facesheet.

- Budget Detail

  The Budget Detail information is the "detailed breakdown of costs for each line item," as found under Part II of the Budget Information directions.

- Budget Justification

  The explanation of your Budget Detail should follow next.

- Contributed Budget and Contributed Budget Justification

  Your institutional commitment and that of other organizations or agencies can follow in a contributed budget.

- Assurances and Disclosures

  The remaining forms should be included in the order contained in your application packet. At the top of the first of these forms is a statement which indicates that "certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency." If your institutional representative is not familiar with these forms, then someone must be responsible for obtaining information which will ensure appropriate completion.

- Table of Contents

  The next information should be the Table of Contents which directs the reader through the remainder of the proposal. In fact, most Table of Contents also include references to the front matter, as seen in the example in Appendix G.

After all the front matter is assembled as listed above, your narrative and appendices follow.

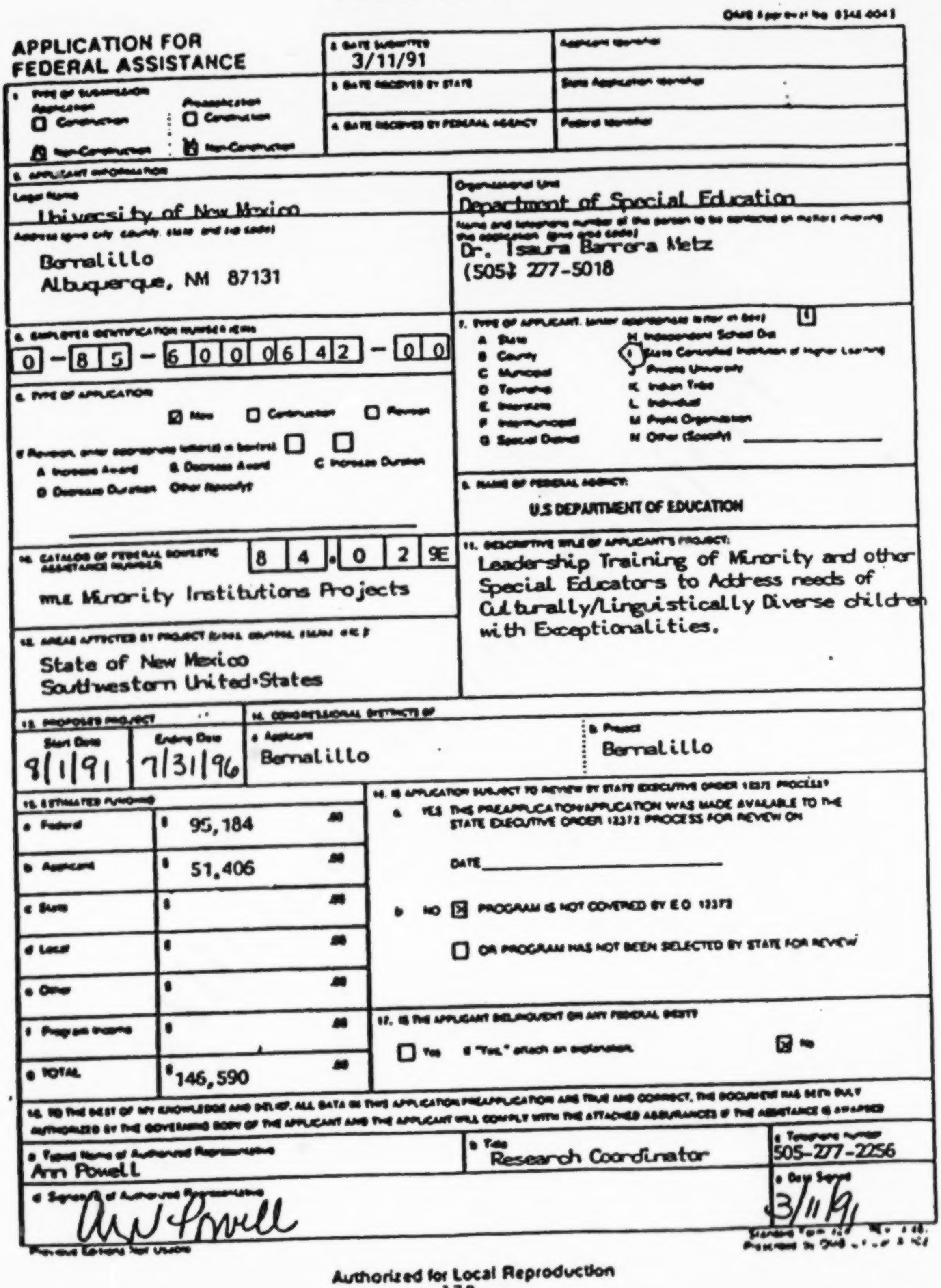
A. FACE SHEET

The federal form that comprises the facesheet for your proposal is, in many ways, the most important page in the entire document. Your first step is to carefully read the instructions that accompany the facesheet. The facesheet is discussed in sections below with more in-depth explanations. A completed sample facesheet is shown in Figure V.A.1

Section 1

Items 1-6 are primarily identifying information for your unit. Item 1 asks about the type of submission. You would typically check "Non-Construction" under "Application" on the left. Item 2 is the date you submit your application which typically is the due date for the postmark. Item 3 asks for the date received by the state. Enter this date if you have shared your proposal with your State Department of Education for review and feedback.

FIGURE V.A.1



OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED: 3/11/91

Applicant Identifier:

3. DATE RECEIVED BY STATE:

State Application Identifier:

4. DATE RECEIVED BY FEDERAL AGENCY:

Federal Identifier:

1. TYPE OF SUBMISSION:

Application: ☐ Construction ☒ Non-Construction

Preapplication: ☐ Construction ☒ Non-Construction

5. APPLICANT INFORMATION

Legal Name: University of New Mexico

Organizational Unit: Department of Special Education

Address (give city, county, state and zip code):
Bernalillo
Albuquerque, NM 87131

Name and telephone number of the person to be contacted on matters involving this application (give area code):
Dr. Isaura Barrera Metz
(505) 277-5018

6. EMPLOYER IDENTIFICATION NUMBER (EIN): 0 - 85 - 6000642 - 00

7. TYPE OF APPLICANT: (enter appropriate letter in box) I

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
[✓ I. State Controlled Institution of Higher Learning]
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify) ____________

8. TYPE OF APPLICATION: ☒ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify):

9. NAME OF FEDERAL AGENCY:
U.S DEPARTMENT OF EDUCATION

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 84.029E

TITLE: Minority Institutions Projects

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
Leadership Training of Minority and other Special Educators to Address needs of Culturally/Linguistically Diverse children with Exceptionalities.

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):
State of New Mexico
Southwestern United States

13. PROPOSED PROJECT:
Start Date: 8/1/91
Ending Date: 7/31/96

14. CONGRESSIONAL DISTRICTS OF:
a. Applicant: Bernalillo
b. Project: Bernalillo

15. ESTIMATED FUNDING:

a. Federal	$ 95,184	.00
b. Applicant	$ 51,406	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. TOTAL	$146,590	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON
DATE ____________

b. NO. ☒ PROGRAM IS NOT COVERED BY E.O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
☐ Yes If "Yes," attach an explanation. ☒ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative: Ann Powell

b. Title: Research Coordinator

c. Telephone number: 505-277-2256

d. Signature of Authorized Representative: Ann Powell

e. Date Signed: 3/11/91

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Leave Item 4 blank.

In the upper right corner, the Applicant Identifier would be the number your own institution has assigned your proposal (if any). You would leave the other two numbers blank, unless your State Department has assigned your proposal a number.

Under Item 5, type in your institution's name for "Legal Name." To the right, "Organizational Unit" asks for your department, college, or other division name. "Address" requires your mailing address, including your county.

Item 6 requires your institution's employer identification number. Each box should have a digit in it.

Section 2

Items 7-14 ask about the scope of the proposed project. In the box for Item 7, you are most likely to type in an "I" (State Institution of Higher Learning) or a "J" (Private University). Item 8 asks for a check for Type of Application; you will either be submitting a "New" or "Continuation" proposal.

Item 9 requests the name of the federal agency to which you are submitting, such as the U.S. Department of Education. Your RFP will have the agency's name clearly identified.

Item 10 asks for, or lists for you, the specific competition number under which the awards are available. In addition, type in the title of the competition (e.g., "Careers in Special Education Personnel Preparation").

You can be creative with Item 11 because this is the title of your project. Your hard work and planning has led to development of an innovative, impressive proposal, and you want your project to be distinctive. Therefore, its name should be distinctive as well. Many people find that a name that spells a catchy acronym works well for them.

Item 12 asks for the geographic scope of the project's impact. If there are numerous communities involved, you may simply want to state "twenty counties" or "twelve communities in northeastern part of state".

Item 13 requests start and ending dates for your entire project's duration. In number 14, state the Congressional districts of (a) your institution, and (b) your project. As in number 12, you may need to be general in part (b).

Section 3

The remainder of the items on the facesheet give the total funding picture and the connection, if any, to the state. Item 15 asks for all sources of funding to support your proposed project. Part "(a) Federal" should be the total dollar figure you are requesting from the agency. Part (b) is the total contributed amount from your own institution. Part (c) is the total contributed amount from the state (e.g., the State Department of Education, the State Department of Labor, the State Department of Health). Part "(d) Local" asks for the total contributed amount from local agencies, such as school districts, special education cooperatives, or other entities. Part "(e) Other" is for the amounts contributed by other organizations, and Part (f) asks you to project income to be taken in by the project (not usually applicable). Part (g) allows you to project the total support the project will receive.

Item 16 concerns the application's status regarding State Department review of your proposal prior to submission, under State Executive Order 12372. This order does not apply to Personnel Preparation competitions but does apply to some other types of competitions. Read your RFP to determine whether your particular award category is affected by this order.

Item 17 should be "no", but you may want to check with your comptroller's office to make sure.

Item 18 requires the signature, typed name, title, and phone number of the person in your institution authorized to sign off on grant proposals. Identify that person well in advance and alert him or her that your proposal is coming, especially if you are approaching the deadline.

NOTE: Many proposal writers find that the best mode of operation is to complete the budget section, abstract, facesheet and assurances at least a week in advance of the deadline so that those pieces can go through the institutional mill and get back to you with signatures in time. This allows you a week to finish all the details on your narrative and appendices.

B. ASSURANCES

The government is obliged to obtain various assurances from each institution which applies for funding. One assurance for non-construction programs states that your agency will comply with all related Federal statutes, such as Civil Rights statutes, Drug and Alcohol Abuse Acts, fair labor standards, and other laws. The same person who signs your cover sheet must sign this multi-item assurance.

A second assurance guarantees several things: federal funds will not pay for lobbying, the key project personnel are not debarred or suspended, and the institution provides a drug-free workplace. This form, also, must be signed by the designated person described above.

Other assurances may be included as well. If spaces for signatures are identified, make sure that the appropriate signature is obtained and the assurance makes its way into your proposal. Typically these assurances are found at the end of your budget section or immediately after the federal budget forms.